

POLICY SECTION

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INTRODUCTION

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CHAPTER 100 INTRODUCTION

101 Overview of the Policy Section

The information in this policy section of the Administrative and Policy Manual is provided by the California Department of Health Services (CDHS), Tobacco Control Section (TCS) to guide the operation and functioning of local tobacco control programs. This includes local lead agencies and competitive grantees. Most of the policies in this section of the manual apply to all local programs funded by CDHS/TCS. However, a few are specific to local lead agencies or competitive grantees.

In addition to programmatic and administrative requirements, this section contains background information on California's tobacco education campaign, the mission and philosophy statements of CDHS/TCS, and principles of planning. This section should be reviewed prior to the development and implementation of interventions, evaluation activities, project staffing, and administration of tobacco control programs. As staff turnover occurs within your agency, please provide new staff with a copy of the entire Administrative and Policy Manual to ensure they are familiar with CDHS/TCS program and administrative expectations.

102 Proposition 99 and Legislative Mandates

In November 1988, California voters approved the Tobacco Tax and Health Promotion Act of 1988 (Proposition 99) which added a 25-cent tax to each pack of cigarettes sold in the state. Revenues from this additional tobacco tax are directed toward tobacco-related research, health education, and health care. Twenty percent of the taxes generated were earmarked for health education efforts aimed at the prevention and reduction of tobacco use with a legislatively mandated goal of reducing tobacco consumption by 75 percent in the State of California by the year 1999. The Tobacco Education Research Oversight Committee (TEROC) has since established a goal of reducing adult smoking prevalence to 13% by the end of 2005.

The scope of the health education campaign launched by CDHS/TCS is addressed in Health and Safety Code, Chapter 1.2 commencing with Section 104350. These statutes require CDHS to fund a variety of innovative approaches to reduce tobacco use which include funding for a statewide media campaign, local health departments, competitively selected state and community-based projects, as well as an extensive evaluation of the entire tobacco education campaign.

Enabling legislation for Proposition 99 requires programs administered by CDHS/TCS to:

1. Conduct health education interventions and behavior change programs at the state level, in the community, and other non-school settings;
2. Apply the most current research findings; and
3. Give priority to programs that demonstrate an understanding of the role community norm change has in influencing behavioral change regarding tobacco use.

103 Local Lead Agency Responsibilities

Each of the 58 county and three city health departments are designated as “Local Lead Agencies” (LLAs). Health and Safety Code Sections 104375, 104380, 104405, 104410, 104415, and 104440 address the LLA requirements. LLAs are responsible for planning, implementing, and coordinating a comprehensive tobacco control plan. As the lead tobacco control agency at the community level, the primary legislated responsibilities of LLAs are to:

- Obtain the involvement and participation of local community organizations with special expertise in tobacco control and representatives of high-risk populations.
- Provide for or contract for tobacco control activities.
- Establish a coordinated information, referral, outreach, and intake system for preventive health education against tobacco.
- Coordinate services between county service providers, government agencies, and the county office of education.
- Provide technical assistance to tobacco control service providers.
- Review county office of education anti-tobacco education plans and provide written comment to the county office of education.
- Establish a uniform data collection system in compliance with State requirements and ensure systematic compatibility and the capacity to expand their computer software and hardware systems.
- Develop a local plan and budget.

Each LLA fosters and involves a community coalition to engage in grass roots community mobilization activities that promote social norm changes and educate the public about health issues related to tobacco use and tobacco industry strategies that

promote tobacco use. In general, LLAs take the lead on local community policy development, facilitation of enforcement of tobacco control laws and local provision of tobacco cessation services.

104 Competitive Grants Program

The Competitive Grants Program is authorized by Health and Safety Code Section 104385. The competitive grant program funds a variety of local, statewide and pilot projects. The agencies funded through this program are non-profit agencies and include community-based organizations, health clinics, agencies addressing priority populations, alcohol and drug centers, labor organizations, youth organizations, and colleges/universities.

- **Community-Based Projects:** The majority of projects focus on reaching specific populations such as local ethnic groups, youth, college students, 18-24 year olds, labor, etc. They conduct grass roots advocacy and education campaigns that focus on changing community norms around tobacco use.
- **Ethnic Networks:** Four statewide ethnic network projects are funded to operate the following Ethnic-Specific Tobacco Education Networks: African American, American Indian, Asian American/Pacific Islander and Hispanic/Latino. The Ethnic Networks function as administrative agencies to coordinate, collaborate, build capacity and mobilize ethnic communities throughout California. Each Ethnic Network maintains a statewide advisory committee and membership, which is comprised of CDHS/TCS funded agencies, and other organizations and individuals involved in tobacco control efforts for the identified populations. The Ethnic Networks conduct culturally specific educational and advocacy campaigns, address tobacco cessation through creating system-level changes, administer a mini-grant program and provide technical support and consultation to the State, LLAs, and community-based organizations on how to effectively reach and work with California's multi-cultural population.

These projects end June 30, 2004. Beginning July 1, 2004, priority population projects will provide statewide training and technical assistance and local advocacy campaigns. These projects will address the following populations:

- Asian Pacific Islander
 - American Indian
 - African American
 - Hispanic/Latino
 - Gay, Lesbian, Bisexual, Transgender
 - Low socioeconomic status
 - Labor
- **Statewide Projects:** CDHS/TCS funds several statewide projects to address a particular issue and/or to provide technical assistance to other funded projects.

The funded projects include:

- BREATH (The California Smoke-free Bar Program)
 - Building Trades Unions Ignite Less Tobacco (BUILT)
 - California Smokers' Helpline
 - California Youth Advocacy Network (CYAN)
 - Center for Tobacco Policy and Organizing (The Center)
 - Council for Responsible Public Investment (CRPI)
 - Technical Assistance Legal Center (TALC)
 - Tobacco Education Clearinghouse of California (TECC)
-
- California Smokers' Helpline: The Helpline provides intensive tobacco cessation counseling via the telephone. Services are provided in English, Spanish, Korean, Mandarin, Cantonese, Vietnamese and for the hearing impaired. Tailored counseling services are provided for adults, teens, pregnant women and chew tobacco users. The Helpline also provides self-help materials and a referral list to other tobacco cessation programs. The services provided by the Helpline are free-of-charge. For more information about the California Smokers' Helpline go to www.nobutts.edu or for cessation help call:
 - English 1-800-NO-BUTTS (1-800-662-8887)
 - Spanish 1-800-45-NO-FUME (1-800-456-6386)
 - Mandarin & Cantonese 1-800-400-0866
 - Vietnamese 1-800-778-8440
 - Korean 1-800-556-5564
 - TDD/TTY
 - 1-800-933-4TDD (1-800-933-4833)
 - Chewing Tobacco 1-800-844-CHEW (1-800-844-2439)

CHAPTER 200

PROGRAM OPERATING PRINCIPLES

CDHS/TCS has developed the following program operating principles for tobacco education activities in the state.

CDHS/TCS is committed to providing leadership and resources to achieve a 75 percent reduction in tobacco use in California (currently at 60 percent). CDHS/TCS advocates a social norm that creates a tobacco-free lifestyle and environment for all Californians. Toward these ends, CDHS/TCS encourages programs to:

1. Empower local decision-making through broad-based community participation.
2. Recognize cultural diversity and maintain respect for cultural traditions.
3. Encourage innovative and multi-dimensional models for health education.
4. Create a partnership among communities, schools, worksites, health care organizations, and government.
5. Recognize individual and community rights to self-determination.
6. Recognize the likely need and prepare for major shifts in program emphases as conditions change.
7. Recognize the critical importance of using interventions that focus on involving the family and community rather than only individuals. Programs must tap into the social context of individual behavior. Individuals, whether young people or adults, interact within a vast complex of relationships, organizations, peer and reference groups, as well as work, personal growth, religious, and recreational activities.
8. Recognize the paramount importance of program cost-effectiveness. In order for programs to be replicable throughout California, they must be financially feasible. There are a number of ways cost-effectiveness can be enhanced:
 - a. Institutionalize interventions into worksites, schools, community networks and the health care system.
 - b. Emphasize interventions that create generational change. This is particularly important in regard to young people. We know, for example, that youth are more likely to use tobacco if their parents use tobacco. Therefore, reaching parents and other intermediaries such as coaches can help break the chain and reduce program costs over time.

- c. Emphasize interventions that last. Policy development is of key importance to changing community norms about tobacco. Social norm change through organizational, community, and business policies, whether creating a smoke-free workplace or school, a community ordinance to restrict the tobacco industry, or a commitment from a community or educational institution NOT to accept tobacco industry money to support sports or cultural events, all have lasting impact on thousands of people.
- d. High risk priority populations must be major targets of programs since they are major targets of the tobacco industry. The tobacco industry is a heavy sponsor of organizations that target these populations and is responsible for the proliferation of advertising directed to priority population communities.

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TOBACCO CONTROL PROGRAM REQUIREMENTS

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#01 TOBACCO CONTROL COALITION REQUIREMENTS

Chapter 300

Adopted 02/94

Revised 04/04

1. Local lead agencies shall establish a tobacco control coalition or integrate issues of tobacco control into an existing coalition to:
 - Obtain the participation and involvement of local community organizations with special experience and expertise in community health education against tobacco use and representatives of high-risk populations.
 - Assist in the development and implementation of community tobacco control efforts.
 - Develop and demonstrate widespread public support for issues, actions, and unmet needs.
 - Maximize the power of individuals and single groups and agencies through joint action for the purpose of creating a "critical mass."
 - Mobilize the talents and resources of multiple individuals, groups, and agencies to promote tobacco education and control strategies.
 - Provide a united voice to respond to the tobacco industry.
2. The organizational structure of the coalition is flexible and may include:
 - Forming a centralized coalition that serves the entire health jurisdiction, region or state.
 - Forming decentralized coalitions based in communities or based on issues.
 - Integrating tobacco control issues into an existing coalition.
 - Creating a separate campaign committee to focus on passage of policies or enforcement of existing policies.
3. Membership: Coalitions are to recruit a diverse membership and strive to include representatives beyond traditional health, education, and social service organizations. Membership should be geographically balanced and include ethnic and other priority population representation comparable to the make-up of the area. Outreach should be made to include CDHS/TCS funded grantees in the coalition.

4. Coalition members shall serve without compensation, but members may be reimbursed for necessary travel expenses incurred in the performance of their duties as a coalition member.
5. Tobacco control coalitions are to have formalized operating rules and procedures (e.g., by-laws) that include:
 - A description of the coalition's organizational structure;
 - A mission statement;
 - A definition of the roles and responsibilities of members, appointment to the coalition, length of membership, and meeting frequency;
 - A process for new member orientation;
 - An assessment of members, no less frequently than every 18 months, to monitor coalition functioning and member satisfaction using assessment instruments identified by CDHS/TCS or others acceptable to the coalition.
 - The creation of a standing committee charged with recruiting new members.
6. The chair of the coalition may not be from the administrative agency that functions as the facilitator of the coalition.
7. Agencies responsible for facilitating the coalition are to develop a process for recruiting and orienting new coalition members.
8. Agencies responsible for facilitating the coalition are to periodically provide training on coalitions to members and review operational procedures with coalition members.
9. Agencies responsible for facilitating the coalition are to develop communication systems to keep coalition members fully informed for both urgent (rapid response) and routine communication needs.
10. Agencies responsible for facilitating the coalition shall provide staff, logistical assistance, training, budget support, and other assistance as needed by the coalition.

#02 HEALTH EDUCATION PROGRAM REQUIREMENTS

Chapter 300

Adopted 02/94
Revised 04/04

The following are health education program requirements which are to be used by CDHS/TCS funded agencies and their subcontractors to design and implement health education strategies. Programs are to:

1. Focus on community norm strategies which are likely to be institutionalized and to apply current research findings regarding the effectiveness of policy, media, and program strategies.
2. Focus greatest effort and resources toward the priorities of: 1) countering pro-tobacco influences; 2) reducing exposure to environmental tobacco smoke; and, 3) reducing the demand and availability of tobacco products through commercial sources.
3. Be comprehensive in nature and use community education, paid media, media advocacy, policy, training, mini-grants, surveys, and other activities to work in a coordinated and focused fashion to achieve outcome-oriented objectives.
4. Reflect coordination and collaboration with the efforts of local lead agencies, competitive grants, priority population partnerships, and statewide initiatives.
5. Reach out to and include groups having access to, knowledge of, and experience with target groups, but who are not currently involved or receive tobacco tax funding. Such groups include, but are not limited to churches, housing projects, law enforcement agencies, professional organizations, youth groups, schools, chambers of commerce, business groups, and unions.
6. Be designed with the assistance of representatives of target populations and intervention groups. They shall be conducted with the participation or support of organizations or individuals from the target populations or from organizations serving those populations.
7. Mobilize the community to demonstrate support for educational, policy, and enforcement activities. This may include: conducting letter writing campaigns, press conferences, community forums, obtaining resolutions from community groups, generating opinion editorials, meetings with key community leaders or agencies, creating new alliances with groups such as civil rights organizations, chambers of commerce, women's groups, community beautification groups, law enforcement agencies, alcohol and drug professionals, etc.

8. Build the capacity of communities to address tobacco issues through training, surveying, coalition, leadership, and media opportunities, e.g., spokesperson training, conducting surveys, providing leadership opportunities to youth, etc.
9. Identify, document and publicize the presence of tobacco-related problems and demonstrate public support for tobacco control interventions through the media. Documentation of the problem may include youth tobacco purchase surveys, surveys of tobacco advertising, key informant interviews, intercept surveys, telephone surveys, etc.
10. Use paid media, public service announcements and media advocacy opportunities in a coordinated fashion to support national, state, regional, and local policy and educational activities.
11. Pursuant to National Cancer Institute recommendations, tobacco use prevention curricula for youth are to include the following components:
 - a. Concentrate primarily on tobacco use and keep separate from other drug, alcohol, or general health issues;
 - b. Contain information on the social consequences and immediate physiological effects of tobacco use, particularly as related to peers, parents, marketing, and media influences;
 - c. Provide learning experiences related to decision-making, problem solving, and refusal skills;
 - d. Include at least two or more sessions; and
 - e. Include an evaluation.
12. Tobacco control programs are to be culturally and linguistically appropriate for the target populations and intervention groups.
13. Program evaluation shall be built into tobacco control activities with the minimum percentage, defined in the procurement to which you responded, of the budget directed toward evaluation activities. Evaluation activities are to be focused on outcomes, but also may include process evaluation and formative research.

#03 EDUCATIONAL AND MEDIA MATERIALS, INCENTIVE AND PROMOTIONAL ITEMS

Chapter 300

Adopted 02/94

Revised 04/04

The following requirements apply to the use and development of: 1) educational materials, 2) media materials, 3) promotional items, and 4) incentive items developed with funds from CDHS/TCS. When all four types of materials are referenced, they will be referenced as “materials,” otherwise the type of materials will be specified as described below.

1. Examples of Materials

- a. Educational materials are items such as brochures, books, booklets, curricula, tip sheets, fact sheets, posters, videos, and games.
- b. Media materials are items such as television, radio, print, web, outdoor or in-store advertising. For this reference, media materials do not include such items as press releases or newspaper articles.
- c. Promotional and Incentive materials are items such as T-shirts, pencils, stickers, balloons and water bottles.

2. Technical Assistance

a. Educational, Promotional and Incentive Materials

The Tobacco Education Clearinghouse of California (TECC) is responsible for coordination, review and statewide distribution of selected materials. **PRIOR** to developing educational, promotional or incentive materials, agencies **MUST** first contact the Tobacco Education Clearinghouse of California (TECC) Technical Assistance staff at 1-800-258-9090 to conduct a materials search to determine if similar, topic-related or audience appropriate materials were previously developed. This is a **MANDATORY** requirement in order for CDHS/TCS to ensure non-duplication and statewide coordination.

If the adaptation of existing materials or development of new materials is warranted, agencies are to coordinate the design, field-testing and production of educational, incentive and promotional materials with TECC. TECC will provide technical assistance on the development of the material and pre-testing of the material for accuracy, effectiveness, literacy level and cultural appropriateness.

Note: For more extensive policy information on the adaptation of materials developed with CDHS/TCS funds, see Policy #17, Process to

3. Development of Materials

Prior to their use, all materials developed or adapted must be pre-tested with the intended target population for effectiveness and accuracy. The pre-testing must include an assessment of literacy levels and cultural appropriateness. The use of focus groups and/or pilot testing is highly recommended. Competitive Grantees must submit these results to TECC with the Materials Intake Form. LLAs are to submit these results to TECC along with the Materials Development and TECC Intake Report from OTIS.

4. Acknowledgement

a. Educational Materials

Educational materials developed with CDHS/TCS funds must include the following wording, "This material was made possible by funds received from the California Department of Health Services, under contract # XX-XXXX."

b. Media Materials

Media materials (e.g., billboards, TV ads, radio ads, etc.) may have an abbreviated version of this acknowledgement, i.e., "Funded by California Department of Health Services." Media materials must acknowledge the agency that is placing the advertising.

c. Incentives/Promotions

Incentive and promotional materials may omit the acknowledgement if there is a space limitation or the attribution interferes with the image of the piece.

5. Submission Requirements

a. Progress Reports

Check List Form (Attachment B): Confirm submission of two originals of any new educational or media material developed during the report period to the Tobacco Education Clearinghouse of California (TECC) with the corresponding TECC Material Intake Form. LLAs are to follow the submission instructions provided in the OTIS User Guide.

Materials Development Form (Attachment F): List all media and educational materials, and promotional/incentive items developed during

the report period. Attach the confirmation sheet(s) from TECC to this form verifying the receipt of these materials at TECC. LLAs are to follow the progress report instructions in the OTIS User Guide.

Documentation: Submit originals of educational and media materials and promotional/incentive items developed during the report period with both copies of the progress report submitted to CDHS/TCS. For promotional/incentive items, you may include one (1) original with the original progress report and include a clear photo or photocopy of the items with the second copy of the progress report. One copy of the material is retained in the agency's permanent contract file and the second copy is filed in the CDHS/TCS Resource Room.

b. TECC Materials Intake

NOTE: LLAs are to follow the instructions in the OTIS User Guide.

When a new material is created, submission **requirements** to TECC include:

- Two (2) originals;
- Completed TECC Material Intake Form (MIF) – see a copy of the MIF attached to this policy; the form is also available on the TECC web site at www.tecc.org
- Results of pre-testing for literacy level and cultural appropriateness; and
- Copyright/distribution agreements and photo releases, if appropriate.

Additionally, submit to TECC field test results, evaluation data and translations of materials submitted in languages other than English, if available.

Note: *Pre-testing or pilot testing of the messages and images of a material being developed or adapted for effectiveness, literacy level, and cultural appropriateness with the intended audience is required by CDHS/TCS. The use of focus groups is recommended, however, one-to-one interviews or intercept surveys with the intended audience can also be used.*

The materials submitted to TECC are in addition to the materials sent in with your progress report. Materials should be submitted to TECC as they are completed. The materials are assessed by an internal TECC review process and external Materials Review Committee for inclusion in the TECC sales catalog. Materials submitted to TECC without appropriate copyright/distribution agreements and photo releases may not be considered for statewide distribution.

c. Master Copies

TECC or CDHS/TCS may request camera-ready artwork and/or master copies for future reproduction purposes. Each agency that employs subcontracts is responsible for submission of any subcontractor's camera-ready artwork and/or master copies if requested by TECC or CDHS/TCS.

Master copies are digital files including fonts, images and other links on zip or compact disks. The following graphic design and image software programs are preferred for the material to be considered for inclusion in the TECC sales catalog: PageMaker 5.0-6.5; QuarkXpress 4.0; Illustrator 7.0-8.0; Photoshop 3.0-5.0; and MS Photo Editor. For video masters submit BetaCam tapes.

It is highly recommended that agencies have at least two master copies created at the time a material is developed; one that your agency retains and the second for TECC.

6. Contract/Administrative Issues

- a. When using the consulting services of an artist, writer, or designer for the development of materials, all agencies must indicate "Work for Hire" on contracts and invoices. Please see the CDHS/TCS copyright language provided below that is to be included in all subcontracts, mini-grants and consultant agreements. This will ensure that the copyright belongs to CDHS/TCS and that CDHS/TCS has the authority to make derivative works and that no residual costs will be incurred by CDHS/TCS for additional printing or use.

The following provision must be included in all subcontract agreements: "The subcontractor grants the State of California copyright interest in any Works created, provided, developed or produced under the agreement and ownership of any Works not fixed in any tangible medium of expression and agrees to assign those rights to the State. For any Works for which the copyright is not granted to the State, the State shall retain a royalty-free, non-exclusive and irrevocable license throughout the world to reproduce, to prepare derivative Works, to distribute copies, to perform, to display, or otherwise use, duplicate or dispose of such Works in any manner for government purposes, and to have or permit others to do so."

- b. All agencies must print the following on any invoices for duplication services for materials: "All _____ (e.g.: artwork, type, electronic files, or photographic film or video/audio tape) created or submitted for reproduction is the property of the California Department of Health Services. Acceptance of this order indicates agreement of these terms."

- c. If any material to be developed involves any copyright limitations (e.g., talent fees, limits on distribution, stock photography royalties), agencies must get CDHS/TCS approval prior to the development of the material.
- d. When using the image or likeness of an individual in an educational or media material and promotional/incentive item, agencies must ensure that the individual has signed a consent form or photo release. Agencies shall obtain an additional consent form from the parent or legal guardian of individuals under 18 years of age.

Note: *Subcontract, mini-grant, and consultant agreements and/or photo releases must be completed and include the required CDHS/TCS copyright language even if no monetary payment is part of the transaction.*

- e. Agencies are not allowed to profit from the sale of materials created through the use of CDHS/TCS funds. In some cases, agencies are allowed to recoup material duplication/distribution costs on a cost-recovery basis only. The agency must contact CDHS/TCS to obtain PRIOR APPROVAL to generate revenue or if they are considering private distribution of materials.
- f. No video or portion of one can be edited and incorporated into another educational video without the express written permission from the CDHS/TCS.

7. Content Issues

- a. Educational materials are to be developed as part of an educational intervention which includes other activities, and are never to be the sole source or method of education except those designed for self-help.
- b. Materials must be scientifically and technically accurate and original source information must be cited. When listing references, CDHS/TCS recommends that the guidelines of the *American Medical Association Manual of Style* (9th ed.) be followed.
- c. Materials must be pre-tested with the intended target group prior to their use for accuracy, appropriateness, and effectiveness. The use of focus groups for this process is highly recommended.
- d. Materials must be tested for literacy levels and developed at the levels appropriate for the intended target group(s).
- e. Messages must address themes based on research shown to be effective in discouraging tobacco use among the target group(s).

- f. Materials may not contain offensive or misleading messages, and may not personally attack, put down, or blame tobacco users, e.g., messages may not focus on smokers as “losers.”
- g. Educational materials shall not be used to promote religious ideology. Tobacco education materials designed for use in a faith-based setting must have tobacco education as their primary purpose and they can neither advance nor inhibit religion.
- h. No materials shall feature the image, voice, or identifiable views of any elected public official or candidate for public office.

8. Educational Incentives

- a. How Incentives May Be Used: Tobacco education projects may use incentives to reinforce or motivate a change in behavior. Incentives are only to be given to participants attaining a pre-specified goal.
- b. Types of Educational Incentives: Incentives can be both tangible and intangible in nature. To be most effective, both forms of incentives should be used, for example, giving a reward along with public recognition for meeting specified goals.

An example of a tangible incentive in a youth tobacco control advocacy project is to give youth participating in surveying and media activities T-shirts, following the completion of surveying activities. Other examples of a tangible incentive in a prevention intervention are: (a) the awarding of merit badges to youth participating in a series of tobacco education and empowerment activities, or (b) awarding of gift certificates to youth participating in a prevention activity and who sign pledges to be tobacco-free for one year. In both of these examples, incentives are used to change or reinforce behaviors. An intangible incentive would be an opportunity to be featured in the media or a video about youth advocacy.

- c. Limitations:
 - 1) **Cash awards are not permitted as an incentive.**
 - 2) **The value of an incentive is limited to \$50 worth of merchandise per person per year. The award amount cannot be pooled to exceed the \$50 per person per year limit; however, awards over the \$50 limit may be provided by soliciting donations from the community.**
 - 3) The value of the incentive must be commensurate with the degree of behavior change sought. As such, a significant behavior change, such as quitting tobacco use and remaining tobacco-free for a 3-

month period, may merit a large award with a value of \$40 to \$50. A less significant behavior, such as speaking with a family member about their tobacco use, should be rewarded with an incentive of more moderate value, i.e., \$5 to \$10.

d. Tips on Using Educational Incentives:

- 1) It is best to provide a series of small incentives for the initiation of intermediate changes, which could be for the reduction of smoking and given on the selected quit date. Larger incentives should be awarded after the intervention is concluded, and in the case of cessation, when the behavior change can be documented, e.g., smoke-free one month after the conclusion of the cessation program.
- 2) Incentives can be used to motivate participants to try again after a slip or relapse.
- 3) Incentives may be used to motivate or reinforce institutional change, e.g., plaques may be given to businesses or worksites that support non-smoking policies or businesses that reduce the amount of tobacco advertising in their stores.
- 4) It is important to reinforce the behavior change or maintenance of positive behavior by clearly stating how the person earned the incentive when it is given.
- 5) If possible, incentives should reinforce other healthy behaviors, e.g., a pass to a recreational or cultural event, or reinforce other tobacco education efforts in the community, e.g., a gift certificate to a store that has removed its tobacco advertising.
- 6) The value that the target population places on the incentive item should be considered. Youth may value sports equipment, amusement or movie tickets.

9. Promotional Items

- a. Promotional items are used to generate visibility and interest in the program. Promotional items may consist of buttons, key chains, hats, T-shirts, etc.

Example: Giving visors to participants in a tobacco awareness walk-a-thon. The intent of the visor is not to facilitate behavior change, but to generate interest and enthusiasm for the program, and to perpetuate a tobacco-free lifestyle or community message when worn.

- b. The value of promotional items is to be moderate or nominal in cost.
- c. Agencies using promotional items should use those items in a planned manner and require some action on the part of the potential recipient, e.g, complete a tobacco industry knowledge quiz, sign a birthday card celebrating the anniversary of the city's clean indoor air ordinance, smokers sign a tobacco-free honor roll with the number of years they have been tobacco-free.



Material Intake Form

Project: _____

TCS Contract #: _____

Contact person for material submitted: _____

Address: _____

City: _____ State: _____ Zip: _____

I. MATERIAL DESCRIPTION

Title: _____

Date produced: _____

Language(s): _____

TCS Priority Area

- ☐ Access to Tobacco
- ☐ Secondhand Smoke
- ☐ Countering Pro-Tobacco
- ☐ Cessation
- ☐ Chew, Dip, Cigars

Material Purpose

- ☐ Raise awareness of issue
- ☐ Influence attitude about issue
- ☐ Influence behavior change
- Other: _____

Setting for Use

- ☐ Awareness Event
- ☐ Medical Clinic/Office
- ☐ Worksite
- ☐ School/Adult Ed. Class
- ☐ Childcare/Headstart

II. AUDIENCE

Age Group

- ☐ Children (under 13)
- ☐ Teens (13-17)
- ☐ Young Adults (18-24)
- ☐ Adults (25 up)

Ethnic Group

- ☐ General Population
- ☐ African Americans
- ☐ American Indians
- ☐ Asian/Pacific Islanders

☐ Hispanic/Latino
Subgroup: _____

Special Populations

- ☐ Pregnant Women/Postpartum
- ☐ Lesbian, Gay, Bi, Transgender
- ☐ Labor
- ☐ Bar/Restaurant Employees

☐ Merchants
☐ Policy Makers
☐ Current Smokers
Other: _____

III. FORMAT

Educational

- ☐ Brochure/Fact Sheet
- ☐ Curriculum/Training
- ☐ Packaged Program/Kit
- ☐ Policy/Policy Manual
- ☐ Video (time: _____)
- ☐ Poster
- Other: _____

Media

- ☐ TV PSA/Script (time: _____)
- ☐ Radio PSA/Script (time: _____)
- ☐ Print Ad
- ☐ Billboard Ad
- ☐ Movie Theater Slide
- Other: _____

Special

- ☐ Promotional Item

- ☐ Incentive

IV. DEVELOPMENT PROCESS (Attach documentation for each “yes” answer)

Design Steps	YES	NO	Documentation Attached
1. Outlined material goals and objectives	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2. Completed search for similar existing material	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3. Sought consultation on design (i.e., graphic artist)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4. Pilot tested concepts with target audience	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5. Conducted a readability/literacy test	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6. Tested material for cultural appropriateness	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
7. Completed an external back translation of non-English material**	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
8. Field tested final material with target audience	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
9. Conducted evaluation of material with target audience for effectiveness	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

****Please submit English translation**

V. COPYRIGHT AND DISTRIBUTION

Is the material part of a comprehensive campaign or program? ☐ Yes ☐ No

Are there any copyright or talent limitations associated with this material? ☐ Yes ☐ No

If yes, submit a copy of the agreement(s) with the MIF and original material.

Format of production quality Master: _____

Material development cost: \$ _____ Material duplication cost: \$ _____

Number of copies duplicated: _____ Number of copies distributed: _____

VI. ABSTRACT

Please write a brief description and include the intended use of the material.

VII. SUBMISSION REQUIREMENTS

Submit to TECC with the Material Intake Form:

1. Two originals of the material
2. Results of pre-testing on effectiveness, readability and cultural appropriateness
3. Copyright/distribution agreement(s) and/or photo release(s), if applicable

In addition, please submit field test results, evaluation data and translation of material *if submitted in a language other than English.*

Send these items to the following address:
TECC Resource Center, 4 Carbonero Way, Scotts Valley, CA 95066

Signature of person completing form: _____

Date submitted: _____

Revised: 11/01

#04 USE OF CDHS/TCS FUNDS FOR TOBACCO CESSATION

Chapter 300

Adopted 01/96

Revised 04/04

1. Tobacco control programs MAY:
 - a. Administer tobacco cessation programs using self-help, group, community, and media strategies;
 - b. Train health care professionals or others to provide tobacco cessation services or to integrate tobacco use assessment and cessation services into the protocols of an agency with the provision that cessation services will be institutionalized by a specified date.
 - c. Use no more than 10% of their cumulative annual budgets for the direct provision of tobacco cessation services.
 - d. Work with and provide technical assistance to voluntary health organizations to ensure that priority populations, such as ethnic/racial populations, lesbian/gay/bisexual/transgender, low socioeconomic status, and labor populations, and smokeless tobacco users are served by the cessation efforts of those voluntary health organizations.
2. Funds MAY NOT be used to fund health care professionals or lay professionals to provide **individual** tobacco cessation counseling, tobacco use prevention counseling or counseling to decrease exposure to environmental tobacco smoke in health care clinic settings, the home or at the worksite.
3. Funds MAY NOT be used to develop or administer intensive telephone tobacco cessation counseling without explicit written authorization from CDHS/TCS in order to avoid duplication of services with the California Smokers' Helpline.
4. Tobacco cessation methodologies are to incorporate the following:
 - a. Elements focusing on the health and social consequences of tobacco use;
 - b. Strategies and exercises aimed at quitting;
 - c. Relapse prevention; and
 - d. Evaluation of quit status at three, six months, and one year and annually determine the cost effectiveness of cessation activities.
5. Tobacco cessation methodologies MAY also incorporate the following (when used as an adjunct to an educational intervention meeting the tobacco cessation criteria described above):

- a. Pharmacological interventions; however, CDHS/TCS funds may not be used to purchase nor reimburse the cost of medications.
 - b. Hypnosis techniques.
 - c. Acupuncture; however, CDHS/TCS funds may not be used to reimburse staff for performing acupuncture nor for materials associated with performing acupuncture.
6. Tobacco cessation methodologies may not incorporate aversion therapy.

#05 SPONSORSHIP REQUIREMENTS

Chapter 300

Adopted 01/96

Revised 04/04

Definition of Sponsorship

- Sponsorship is a cash and/or in-kind fee paid to a property, event, or organization (typically in sports, arts, entertainment or causes) in return for access to the exploitable commercial potential associated with that property, event, or organization. It is undertaken for the purpose of achieving commercial objectives, and is not philanthropy. It promotes a company (your project) in association with the sponsor (property, event, or organization). Sponsorship is one of the four arms of marketing (advertising, sales promotion, public relations, and sponsorship). A sponsorship can also provide you with access to a live audience, on-site sampling (e.g. of anti-tobacco use materials), and opportunities to survey audiences about tobacco control issues.
- Sponsorship with respect to tobacco control is the promotion of an anti-tobacco use message to an audience attending specific events or venues in the community. The purpose of a sponsorship is to counter the tobacco industry's pro-tobacco use messages or presence in the community and to develop community goodwill for anti-tobacco use educational, media and policy activities. The tobacco control program's sponsorship dollars are to be used as an incentive for community events and/or venues to pass policies rejecting tobacco industry sponsorship and to create smoke-free events or areas. It is likely that a lot of groundwork and relationship building between tobacco control advocates in the community and an event or venue will need to be accomplished in the process of working toward such an objective.

The following are criteria for CDHS/TCS supported sponsorships. Documentation that these criteria were met must be included with progress reports.

Documentation may include copies of advertising, photos of signage, copies of tobacco-free policies, and anything that shows what was received in exchange for the sponsorship. Sponsorships are subject to the review and approval of CDHS/TCS and may be denied if deemed to be an inappropriate use of state taxpayer monies. Please use the checklist attached to this policy as a guideline for approving sponsorships at the local level.

1. The tobacco industry has a history of sponsoring events and/or venues, such as racing events or racetracks, rodeos, cultural events, community festivals, special exhibits, county fairs, stadiums, or professional or minor league ballparks. Your project should sponsor these types of events in your community to prevent and/or end the sponsorships provided by the tobacco industry.
2. Youth events and activities generally are inappropriate Proposition 99

sponsorships because the Master Settlement Agreement (MSA) has already disallowed the tobacco industry from providing youth-focused sponsorships. Some exceptions may be made for rural counties where other sponsorship opportunities may not exist, or where it is evident that the sponsorship is building a relationship with the community to pursue stronger policy work in the future. These types of exceptions must be approved on a case by case basis by the Program Consultant (PC) and Contract Manager (CM) assigned to your project.

3. Health fairs are NOT sponsorships and will be denied by CDHS/TCS.
4. The project is to receive something tangible in exchange for being the sponsor. The larger the financial commitment, the larger the value the sponsor should receive, which may include large signage at the event, advertising in the event program or materials, booth space, radio or television publicity, public announcements at the event and/or cross promotions with other sponsors.
5. As the sponsor, the project should negotiate that the events sponsored with tobacco control funds be tobacco-free, or at a minimum, have designated smoking or non-smoking areas, e.g., no smoking in the carnival areas of fairs, designated non-smoking areas in the stadium at a rodeo or racetrack. Another aspect of negotiation of a sponsorship agreement might include a written non-acceptance of tobacco industry funds policy to be adopted by the event organizing body (board) or by the venue where events are held (such as a rodeo arena, racetrack grounds, or fairgrounds). Information and model policies for fairgrounds, rodeos, and other event venues are available from the CDHS/TCS-funded legal and policy projects or on the PARTNERS Project SMART Money web page.
6. Tobacco control funds are not to be viewed as a long-term replacement of tobacco company sponsorships or financial support to any one individual, team, group, event, or organization. Therefore, a sponsorship is limited to two (2) years unless it is otherwise justified and receives prior approval by your PC and CM.
7. Sponsorships are typically for \$1,000 - \$2,000. An exemption may be sought from CDHS/TCS if there are special circumstances – these will be decided on a case by case basis.
8. Any individual performer, team, group, event, organization, or venue sponsored with tobacco control funds must prominently display a large sign or banner that promotes an anti-tobacco message AND the name of the sponsor (i.e., the project or organization's name). The project may not sponsor an event or venue that is currently receiving tobacco company sponsorship. It is possible to obtain a venue policy prohibiting tobacco sponsorship even for events that are sponsored at the national level by a tobacco company. For example, Pro Rodeo Cowboys Association (PRCA) rodeos are sponsored nationally by Copenhagen,

but if the rodeo arena in a particular city has a venue policy prohibiting such sponsorship, the Copenhagen scoreboard, flag, and banners would not be allowed into that particular arena.

9. Publicity promoting the individual performer, team, group, event, organization, or venue is to include an anti-tobacco use message AND the name of the sponsor (i.e., the project or organization's name).
10. Sponsorships must be outlined in the Scope of Work and budgeted in a separate line item labeled "Sponsorships."

Checklist for Evaluating the Likelihood of a Sponsorship Match ***(Adapted from International Events Group, IEG Inc.)***

Use this checklist as a guide to evaluate events or venues that you should approach in your community with sponsorship monies, or when being approached by events or organizations seeking sponsorships. This is merely a guide to help you think about what should be included in your sponsorship agreement – not every box needs to be checked, but you should think about each of the issues listed. The more boxes checked, the more likely it is that the sponsorship match will be approved by CDHS/TCS.

☐ **Image Compatibility**

- ☐ Does the event offer the imagery and/or lifestyle that my program is trying to establish and with which we want to be associated? *(Is it a smoke free event? Does it have smoke free areas? Does it have a high profile in the community?)*
- ☐ Are the other co-sponsoring companies those with whom my program wants to be associated? *(Does the event have any continuing tobacco sponsorship? If so, the sponsorship is NOT appropriate.)*

☐ **Audience Composition/Reach**

- ☐ Does the event or venue attract the audience that my program wants to reach?
- ☐ Is this sponsorship opportunity in the geographic market that my program wants to impact?
- ☐ Does the audience feel a strong sense of ownership or identification with the venue or event?
- ☐ What is the extended reach of the event or venue? Are there on-site spectators? Television viewers?

☐ **Ability to Leverage/Additional Promotional Opportunities**

- ☐ Can my program conduct cross-promotions with appropriate cosponsors?
- ☐ Does the opportunity occur during a time that we would like extra visibility in the community? *(What other tobacco control activities are going on in the community?)*
- ☐ Is the promotional time frame of the sponsorship defined clearly, and will it meet program needs? *(Year round? One season? One event?)*
- ☐ Are there opportunities for display? *(May we have an educational booth at the event?)*

☐ **Media Coverage and Recognition**

- ☐ Is the event appealing – in a positive way - to the media?
- ☐ Can the event draw broadcast and print coverage?
- ☐ Will my program be recognized in that coverage?
- ☐ Can the event attract a TV or radio broadcast?
- ☐ Will my program's signage show up on the TV broadcast or be mentioned on-air?

☐ **Communicate Product Attributes**

- ☐ Can my program's message be worn while participants compete or perform?
- ☐ Can my program's message be showcased as a key element of the event?

☐ **Efficiency**

- ☐ Does the event or venue deliver to a wide audience?
- ☐ Is the relationship between the cost of sponsorship and the value received appropriate?
- ☐ Does the sponsorship's cost compare with that of similar properties?
- ☐ Is this the most cost effective means to get the results I am looking for?

☐ **Measurability**

- ☐ Does the event or venue conduct regular surveys or tracking studies that could be shared with my program and/or that might include questions developed around tobacco sponsorship? *(Can I include public opinion questions around the issue of tobacco sponsorship and smoke free areas within the event?)*
- ☐ Does the event or venue lend itself to measuring the reach and impact of the sponsorship you are offering? *(Do they track audience demographics? Do they collect attendance data?)*

☐ **Ability to Extend**

- ☐ Does the sponsorship contain spin-off opportunities? *(If I sponsor a racing team, will I have the opportunity to approach racetrack owners/operators regarding implementing smoke free areas?)*
- ☐ Is the sponsorship something my program can build upon? *(If I sponsor a Pro-Rodeo Cowboy's Association rodeo that agrees to eliminate the Copenhagen scoreboard and not announce livestock names that contain tobacco brands, can I do the same for a Professional Bull Riders event at the same venue and build toward getting a venue policy passed?)*

☐ **Ease of Administration**

- ☐ Is the event well organized?
- ☐ Are event staff specific about what the sponsorship includes?
- ☐ Can the event/venue deliver what they have promised in exchange for the sponsorship? *(Do I have a signed board policy or venue policy in hand?)*
- ☐ Do I have staff to properly administer the sponsorship? *(Will someone attend the event to make sure we get what was agreed to and document this for the progress report? Will there be staff to conduct surveys at the event if needed? Do we need staff for an information booth?)*
- ☐ Does the event have a credible track record? *(Is it a well-established community event with a consistently large audience?)*
- ☐ Will the event/venue work with us to capitalize on the sponsorship by initiating cross-promotions via sponsorship workshops or producing post-event reports?

- ☐ Is the lead time sufficient for staff to develop materials/deliverables collateral to the sponsorship in order to maximize the effect?

☐ **Risk Factors**

- ☐ If the sponsorship fails to meet our objectives, can we withdraw without suffering adverse consequences, such as public dissatisfaction?
- ☐ Is the event/venue financially stable?
- ☐ Will the event/venue audience feel that our message is making a positive difference in the event?
- ☐ Have we made sure that there are no venue restrictions that might cause conflict with our program or message?

#06 MINI-GRANT PROGRAM REQUIREMENTS

Chapter 300

Adopted 01/96

Revised 04/04

These guidelines apply to those competitive grantees and statewide projects that fund mini-grants. These agencies may have a mini-grant line item in which the grant recipients are identified and awarded through a competitive process. The mini-grant process permits statewide projects and competitive grantees the flexibility of awarding grants up to \$5,000 without submitting a subcontract agreement to CDHS/TCS for prior approval. Although local lead agencies are exempt from the subcontract process, it is recommended that these guidelines be followed when awarding mini-grants.

1. Mini-Grants are to be awarded for short-term projects that support and enhance achievement of outcome-related objectives in the scope of work. They are to support the three-priority areas of reducing exposure to environmental tobacco smoke, reducing tobacco availability, and countering pro-tobacco influences.
2. Mini-Grants are to be disbursed according to priorities, criteria, and a process determined by the coalition and/or administrative agency and CDHS/TCS. Funding criteria are to contain the following indicators:
 - Awards may not be made to the same agency more than twice in a 12-month period.
 - Mini-grant funds shall not be used to provide group tobacco cessation classes; individual tobacco cessation counseling, tobacco prevention, or secondhand smoke counseling; or curricular activities within public schools.
 - Awards shall not exceed \$5,000 per mini-grant.
 - Mini-Grants shall not pay for personnel salaries, benefits, other overhead expenses or equipment, but may cover consultant costs and operating expenses.
 - Mini-Grants shall not supplant existing Proposition 99 funds, services, or activities.
3. Training, either in person or through teleconferences is to be provided to mini-grant applicants to ensure their understanding of the three priority areas, the prime contractor's scope of work, preferred types of interventions, and evaluation requirements.
4. The application and selection process is to provide for review of applications by an outside review group. The review process is to ensure an unbiased review of applications. Reviewers should exclude themselves from the discussion if there

is a conflict of interest.

5. Mini-grant funds are to ensure support for local advocacy campaigns, a flexible funding mechanism that can rapidly respond to tobacco industry activities, or capitalize on opportunities within the region or community.
6. Agencies are to include in their progress reports information relating to mini-grants awarded during the progress report period. Information is to include the mini-grant recipient's agency name, award amount, term of award, and a brief description of activities to be performed.

#07 YOUTH TOBACCO PURCHASE SURVEY REQUIREMENTS

Chapter 300

Adopted 01/96

Revised 04/04

The following requirements shall be followed by agencies when conducting youth tobacco purchase surveys:

1. Agencies may use either consummated buys or attempted buys for conducting youth tobacco purchase surveys. A list of the pros and cons of each of these formats can be found immediately following this policy.
2. Agencies who conduct consummated purchase surveys must first obtain immunity from prosecution under Penal Code 308 for youth volunteers to conduct the survey from your county's District Attorney, Chief of Police or County Sheriff.
For those who conduct attempted purchases, you **do not** need to obtain immunity from prosecution for youth volunteers. As a courtesy and for safety purposes you still need to get support from and coordinate with local law enforcement.
3. Agencies should notify one another and coordinate youth tobacco purchase surveys conducted in the region with local lead agencies and other competitive grantees as appropriate to avoid confusing the local law enforcement agencies and the media.
4. TCS is to be notified of the date and locations prior to tobacco purchase surveys being conducted in an area.
5. Youth participating in the purchase surveys should preferably be between 15 and 17 years of age and include an approximate equal gender representation. Efforts must be made to ensure appropriate ethnic representation to match the communities being surveyed.
6. Teens must receive a minimum of one hour of training on the survey protocol.
7. Safety of the youth participants must always be placed first and appropriate safety measures followed at all times.
8. Informed consent and a liability waiver must be obtained from all adult and youth survey participants prior to their participation in any survey activities.
Documentation of valid California driver license is required of all adult drivers.
9. Agencies are required to use CDHS/TCS protocols and procedures for conducting youth tobacco purchase surveys including the youth purchase survey instrument, forms, and data collection procedures (for consummated or attempted purchase surveys).

10. The agency shall develop a random sample of retailers (to include grocery stores, gas/convenience stores, liquor stores, convenience stores, drug stores/pharmacies, gas stations only, restaurants, and others) for self-selected geographic area to be surveyed. CDHS/TCS may be contacted for assistance in generating random lists, and for sample size. A replacement list will also be generated. Stores may be contacted prior to the survey to confirm their correct address, and that the store sells tobacco, however, precautions must be taken not to alert the store of an upcoming purchase survey.
11. Results of the purchase survey should be disseminated to policy-makers, including local elected officials and community leaders, through media channels (press conferences, news releases, press kits), and other appropriate mechanisms to generate support for action to decrease youth access to tobacco. Results should be posted on PARTNERS.
12. A report of the results is to be sent to CDHS/TCS, and is to include, at a minimum: purchase protocol, survey instrument, survey methodology, buy rate for each area surveyed, and barriers/facilitating factors in conducting the survey.
13. Agencies shall submit a copy of survey data on disk to TCS within one month following completion of the survey. The preferred format for submitting data is on Epi-Info or in ASCII format.
14. Stores surveyed may be contacted following purchase survey to provide feedback (letters of congratulations or disappointment). Educational activities directed to merchants who illegally sold tobacco to youth following a purchase survey include: distribution of merchant education materials, in-store visits, and merchant education training.

**SIDE BY SIDE COMPARISON
OF
CONSUMMATED -VS- ATTEMPTED YOUTH TOBACCO PURCHASE SURVEY**

Consummated		Attempted	
Pros	<p>Have evidence of a sale and more accuracy.</p> <p>Cigarette pkgs. can be used in press conferences.</p> <p>More closely duplicates the real situation.</p> <p>Youth don't have to be embarrassed by coming up short on money.</p> <p>Helps build commitment among youth volunteers when they see the actual purchases.</p> <p>Disposal of tobacco products can be turned into an advocacy activity by mailing them back to the tobacco companies as gifts of death.</p> <p>Can collect Marlboro Adventure miles and Camel bucks to obtain promotional items for other educational activities.</p>	Pros	<p>Easier to obtain law enf. permission.</p> <p>Well received by media because youth stopped the buy.</p> <p>Don't have to spend money on tobacco products.</p> <p>Don't have to track money during the "buys."</p> <p>Philosophically more acceptable to some adults because you aren't encouraging youth to "break the law."</p>
Cons	<p>Have greater difficulty obtaining local law enf. permission for surveys.</p> <p>Some people perceive it as encouraging young people to break the law.</p> <p>Have to budget for buying tobacco although the cost goes down as sell rates are reduced.</p> <p>Have to handle money during "buys" and track it.</p> <p>Budget has to include cost of purchasing tobacco</p>	Cons	<p>May tip retailers off that this is a survey.</p> <p>Youth may be embarrassed.</p> <p>Don't have hard evidence of the buy.</p> <p>The picture for the media is less dramatic without the cigarette pkgs.</p>

#08 USE OF PROPOSITION 99 FUNDS FOR ENFORCEMENT ACTIVITIES

Chapter 300

Adopted 1/96

1. Proposition 99 funds may not be used for law enforcement activities. They can only be used for purposes specified in the statute. Law enforcement is not within the scope of any of the specified purposes as detailed below.
2. California Revenue and Taxation Code Section 30122 authorizes use of Proposition 99 funds as follows:

"(a) The Cigarette and Tobacco Products Surtax Fund is hereby created in the State Treasury. The fund shall consist of all revenues deposited therein pursuant to this article. Moneys in the fund may only be appropriated for the following purposes:

- (1) Tobacco-related school and community health education programs.
- (2) Tobacco-related disease research.
- (3) Medical and hospital care and treatment of patients who cannot afford to pay for those services, and for whom payment will not be made through any private coverage or by any program funded in whole or in part by the federal government.
- (4) Programs for fire prevention, environmental conservation; protection, restoration, enhancement, and maintenance of fish, waterfowl, and wildlife habitat areas; and enhancement of state and local park and recreational purposes.

(b) The funds consist of six separate accounts as follows:

- (6) The Unallocated Account, which shall be available for appropriation for any purpose specified in subdivision (a)."

Continued Next Page

3. Law enforcement activities which MAY NOT be funded include, but are not limited to:
 - Inspections or stings conducted for the purpose of determining compliance with local, state or federal law and issuing a penalty or fine (This should not be construed to mean that Proposition 99-funded programs cannot conduct surveys or evaluation activities to determine compliance with tobacco-related laws);
 - Legal fees; and
 - Fees associated with due process, court hearings or administrative hearings.
4. Proposition 99 funds MAY be used to:
 - Motivate appropriate agencies to conduct enforcement activities;
 - Train enforcement agency staff;
 - Educate violators of tobacco-related laws;
 - Provide educational warning letters, educational materials and signs describing tobacco-related laws;
 - Train business owners and employees; and
 - Generate or demonstrate public support for enforcement of tobacco-related laws.

#09 COMMUNICATIONS SYSTEM REQUIREMENTS

Chapter 300

Adopted 01/96

Revised 04/04

CDHS/TCS-funded agencies are responsible for coordinating information, referral, and outreach efforts.

1. Agencies are required to subscribe to CDHS/TCS' computer network system known as PARTNERS (See Policy #16) and log on to the web site at least once per week. Agencies are also encouraged to use PARTNERS as a means to disseminate information about their activities and solicit assistance from other PARTNERS users via the Strategy Exchange. To this end, agencies must have access to the Internet and e-mail.
2. Agencies are to widely publicize and promote the California Smokers' Helpline to the public, health care providers, worksites, schools, and others.
3. Agencies are to tag educational and media materials with the California Smokers' Helpline telephone numbers, as appropriate. Contact the Helpline prior to any mass media promotion of the Helpline telephone numbers so that the Helpline can plan ahead and handle the increase in calls resulting from your promotion.

English 1-800-NOBUTTS (adults & teens)

Spanish 1-800-45-NOFUME

Korean 1-800-556-5564

Smokeless Tobacco 1-800-844-CHEW

Hearing Impaired 1-800-933-4TDD

Vietnamese 1-800-778-8440

Cantonese/Mandarin 1-800-400-0866

4. Local lead agencies should develop a resource directory of tobacco education and control services within the local health jurisdiction and provide this information to the California Smokers' Helpline annually.
5. Agencies are to incorporate the "undo" campaign into their programs. This includes using the sample "undo" public relations (PR) materials developed by the media campaign and/or working with the CDHS/TCS Media Unit to develop "undo" media messages appropriate for your local program. (Sample "undo" PR materials can be found on the PARTNERS home page, listed under the "undo Campaign Page.")

Agency employees are to include the following "undo" campaign tag line in their e-mail signature line (or work with the CDHS/TCS Media Unit to create their own tag line):

Imagine a world without cigarettes. undo tobacco everywhere.
www.TobaccoFreeCA.com

The official format for "undo" is Trebuchet MS, in lower case. This is a standard

font on the Microsoft Windows operating systems. The “un” should be in red, the “do” should be black. The words/statements that follow “undo” should also be in lowercase, black Trebuchet MS font.

Agencies are also to incorporate the “undo” campaign into their programs by doing the following:

- Add CDHS/TCS-approved “undo” campaign slogans and www.TobaccoFreeCA.com to your local ads, flyers, banners and other printed materials.
- Add a hyperlink to TobaccoFreeCA.com on your program or agency’s Web site.

#10 TRAINING AND TECHNICAL ASSISTANCE REQUIREMENTS

Chapter 300

Adopted 02/94

Revised 04/04

1. CDHS/TCS-funded agencies may provide training and technical assistance on a variety of issues including: policies to control exposure to environmental tobacco smoke, youth access to tobacco, exposure of youth to tobacco advertising and promotions; spokesperson and leadership development; grant writing; how to find alternative funding sources for community events other than the tobacco industry; program planning, evaluation; development of the capacity to manage programs; data collection; legal and policy issues; and other areas of concern.
2. A key goal of training and technical assistance should be to build the capacity of the agency, organization, individual or institution to plan, implement, and evaluate tobacco use prevention and reduction activities.
3. LLAs are responsible for providing training and technical assistance to agencies, organizations, businesses, worksites, cities, law enforcement agencies, retail groups and others involved in tobacco use prevention and reduction activities. LLAs may also be called upon to assist CDHS/TCS-funded grantees with both programmatic and administrative issues.

#11 USE OF CDHS/TCS MEDIA MATERIALS

Chapter 300

Adopted 02/94

Revised 04/04

PRIOR to developing media materials, contact the Tobacco Education Clearinghouse of California at 1-800-258-9090, the CDHS/TCS Media Unit at (916) 449-5500, and the federal Centers for Disease Control and Prevention, Office on Smoking and Health (CDC/OSH) to determine if there are already materials available which are appropriate for the targeted audience and advertising strategy. This is a **MANDATORY** requirement and must be documented in progress reports submitted to CDHS/TCS.

Statewide Media Material

CDHS/TCS' Media Unit makes materials available to all CDHS/TCS-funded projects. These media materials include radio and television public service announcements (PSAs), billboards, print materials, and paid radio and television commercials, including ethnic and language-specific materials.

The State has entered into agreements with Screen Actors Guild, American Federation of Television and Radio Artists, and CDC/OSH. These agreements govern the availability and use of broadcast media. The State's paid radio and television commercials and PSAs cannot be used unless payments to and contract renewals with the actors and musicians (talent) are current. Use of CDHS/TCS commercials and PSAs must be authorized by the State within strict timeframes to avoid penalty payments, for which the agency could be held liable. Therefore, the State must monitor the distribution and usage of its radio and television advertisements. As funding levels and advertising plans are subject to change, local lead agencies must check continually with CDHS/TCS to confirm availability of broadcast media.

Prior CDHS/TCS media campaigns' advertisements have been transferred to CDC/OSH. Through their advertising contractor, CDC/OSH now maintains the talent payments and contract renewals for these advertisements in order to make these advertisements available to other states. Advertisements from the current California Statewide Campaign, as well as selected advertisements from prior campaigns, will be available directly from the State. Agencies should allow extra time in their media schedules when advertisements maintained by CDC/OSH are requested.

Following are the general requirements for using *all* materials:

1. Before requesting any media materials from CDHS/TCS, agencies shall develop a media plan and submit it to CDHS/TCS, Media Unit, with a copy furnished to your CDHS/TCS Program Consultant. The media plan shall include:
 - the strategy of the advertising/media
 - the media to be utilized (e.g., television, magazines, direct mail)

- profiles of the media audience (who watches, listens, or reads, and where and when)
 - placement schedules (time periods during which each advertisement will run, and where it will run)
 - other agencies plans for tobacco control ads within the same market area
 - plan for coordinating media placement with other local agencies and the State
2. Use of materials must be coordinated with the other tobacco education agencies (e.g., LLAs, competitive grantees, statewide projects and priority partnerships) operating within the same media market, as well as CDHS/TCS' Media Unit. Changes in the level and targeting of advertising often have a strong impact on the number of requests from the public for information and materials, complaints, as well as utilization of the State's toll-free numbers for tobacco use cessation and other programs. The State must be allowed sufficient notice in order to ensure staff and resources are available in response to shifting demands. In addition, thorough and consistent coordination will avoid ineffective duplication of efforts and ensure that advertising in all geographic regions will be mutually supportive of program goals, cost-effective, and as widely distributed as possible.
 3. The "tag" identifying the agency and/or sponsor and Helpline number, if applicable, should be used consistently throughout each media market. See Policy #03, Item 4, for information regarding "tagging" of media materials.
 4. Media materials should be chosen to reach the targeted audience cost-effectively. Consult the CDHS/TCS and TECC advertisement summaries, the CDC/OSH, and local media research data in order to determine the best placement and type of media.
 5. LLAs are encouraged to promote media materials for use within news or feature stories. There are no restrictions or talent payments associated with incorporation of an advertisement into a news or feature report.
 6. The media materials shall not be used for the promotion of any for-profit product, service, or business. No admission fee may be charged for admittance to a presentation of any advertisement. Advertisements shall not be incorporated into a curriculum or media production, such as an educational video. Requests for these types of use must be referred to CDHS/TCS. Small group presentations of an informative nature are allowed.
 7. Agencies shall maintain detailed records of distribution of PSAs and paid commercials.

Public Service Announcements (PSAs)

Specific requirements for using the State's PSAs are as follows:

1. PSAs may only be used for broadcast on a public service basis, that is, on donated media time.
2. PSAs shall not be altered or edited in any way.
3. A "tag" (printed titles and/or voiceover) can be added to the PSA, within the space and time allowed.
4. Agencies may copy the PSAs only for broadcast use on a public service basis. Agencies shall not distribute the PSAs to other agencies or organizations. Requests from other agencies and organizations must be referred to CDHS/TCS.

Paid Radio and Television Commercials

The following requirements govern the use of the State's paid radio and television commercials:

1. Commercials shall be aired in their entirety and shall not be altered or edited in any way.
2. A "tag" (printed titles and/or voiceover) can be added to the paid commercial within the space and time allowed. The tag should include information stating who is paying for the commercial broadcast time. The State recommends, "Paid for by [organization's name], funded by the California Department of Health Services."
3. The commercial must be aired on a paid basis only, that is, on purchased media time.
4. Payment for any media time purchased by the agency or its designee shall be the responsibility of the local lead agency.
5. It is essential that agencies coordinate talent payment of the State media campaign. Agencies planning broadcast ads are responsible for paying all talent fees. However, in some cases, talent payment may not be needed. For example, the State's media campaign is using the advertisement and paying talent.

6. Agencies may copy paid commercials only for paid broadcast. Agencies shall not distribute paid commercials to other agencies or organizations. Requests from other agencies and organizations must be referred to CDHS/TCS.

Billboards and Print Materials

1. Payment for billboard and print advertising space purchased by the agency or its designee shall be the responsibility of the agency.
2. The State's billboards and other print materials are produced in limited quantities. Costs associated with sniping (adding Helpline/sponsor information to a billboard or print advertisement), shipping, and additional print runs may be the responsibility of the agency.

To Request CDHS/TCS Media Materials:

To request media materials, send a fax on your agency letterhead to Kurt M. Fowler at (916) 449-5517. Include your media plan and as much of the following information as possible:

- title and/or description of the advertisement
- where the ad will air or appear
 - number and locations of billboards or newspapers, or
 - number, locations, and call letters of stations
- if outdoor or print, the size(s) needed
- period of time when the ad will run
- local tag copy, if applicable

For Assistance

1. To coordinate media efforts, call Kurt Fowler of the CDHS/TCS' Media Unit at (916) 449-5724 or e-mail Kurt at kfowler1@dhs.ca.gov.
2. For more information on how to integrate media advocacy into your tobacco control program, refer to the guidelines on the following pages.

GUIDELINES FOR INTEGRATING MEDIA ADVOCACY INTO TOBACCO EDUCATION PROJECTS

The following are guidelines for using media advocacy strategies and should be incorporated into the development of tobacco control projects. These guidelines were developed with support from the Stanford Center for Research in Disease Prevention.

Many media stories result from creative opportunism - seizing opportunities created by unplanned events and the evolving news environment. These opportunities can be prepared for by developing and following a strategic plan that integrates media into the broader scope of the project.

A strategic approach means weaving media throughout all interventions. It does not mean simply good public relations or publicity for your agency or media exposure for tobacco-related stories measured by column inches or broadcast minutes. This can result in a costly and common error of compartmentalizing media activities or segregating them from the foundation of the overall program.

The key steps to integrating media advocacy into your project are:

A. Determine Your Policy Objectives

- Are you working on reduction of youth access to tobacco?
- Are you trying to increase enforcement of youth access to tobacco laws?
- Are you trying to limit tobacco advertising/signs in your community?
- Are you trying to eliminate tobacco sponsorship of local events?
- Are you attempting to build support for enforcement of smoke-free bars?
- Are you trying to build support for restricting tobacco advertising and promotions targeting youth?
- Are you trying to reshape public opinion away from the smoker to protecting the public?

B. Determine Your Audience, Channel, Communication Objective, and Resources

1. Audience

- Are you attempting to educate community decision-makers or the public?
- If the public, what are their demographics?
- Where do they get their information from?
 - Who do they think is credible to deliver the message?

2. Channel

- Have you developed an inventory of media organizations in your community?
- Which ones have a history of covering local issues of health and policy?
- What is their circulation/reach of a signal?
- What are the available formats?
- What are the names of key people?

3. Communication Objective

- Are you simply trying to make people aware of a specific tobacco policy issue?
- Are you trying to impart information on environmental issues that support policy?
- Or do you actually want people to take a specific action?

4. Resources

- What is your budget?
- Who on your staff has media experience, contacts or mailing lists?
- What equipment do you have available to you (desktop publishing system; video player, camera, etc.)?

After the audience, channel, communication objective, resources and policy objectives have been decided, then consider the tactics to implement these strategies.

C. Designate a Media Specialist

This does not necessarily need to be someone with extensive media experience, but it should be one person, with the help of a subcommittee, who is committed to getting acquainted with, tracking and working with local media. Having assigned people to handle contacts and details lends professionalism and continuity. It is important, however, that the media specialist does not become isolated, but works as part of the main planning team.

D. Develop and Maintain Key Media Contacts

Media organizations are primarily businesses, and doing business depends a great deal on relationships with key people. Treat these relationships with the utmost level of professionalism and kindness. Send thank you letters when appropriate, to both the reporter and their immediate supervisor. If television or radio, send complimentary letters to the Federal Communications Commission. They will remember you positively for this.

E. Formulate a Rough Media Plan Based on Your Policy Objectives

Think through how the available outlets and resources can help to meet the identified needs. Most importantly, leave time and energy to take advantage of breaking news, to be opportunistic in making sure your message gets heard in the way you want it to get heard.

F. Divide the Media Activities into Thematic Time Frames

The thematic time frames should be long enough to plan ahead, and short enough to manage. For example, a certain number of months emphasizing tobacco-free schools, a certain number focusing on smoke-free restaurants, a certain number on youth access issues, etc.

G. Coordinate Media Activities with Interventions

Coordinate media activities with interventions in your own plan as well as those of the region, state or nation. By integrating your media plans with other community events, whether your own or others, you will be re-enforcing the tobacco control message on different levels simultaneously.

H. Integrate News Stories and Messages

Plan events to generate news that relates to your policy objectives.

For example:

- If your issue is youth, have youth collect tobacco industry promotional giveaways and then hold a press conference to announce their intention to return them to the tobacco industry. Or, sponsor a high school graduating class in exchange for class involvement in a public service billboard campaign on tobacco control. Hold a Kick-Off event when a new billboard goes up.
- Do something unusually newsworthy on the anniversary of a policy. Invite the press.
- If your issue is alternative sponsorship, sponsor a race car, rodeo or sports team. This offers a good chance to consistently and publicly display your message to the public, and also makes for a good news story about the influence of the tobacco industry.
- If your goal is simply awareness of tobacco as an environmental issue, sponsor a tobacco-free event in your community; this is a good news story for the press.

I. Develop Opportunistic Media Readiness Skills

This means having everything in place so that you can quickly and intelligently respond to an unplanned media opportunity. For example:

- Train key coalition members to speak to the media on your policy objectives. Be sure they have their "media bites" ready.
- Place opinion-editorial pieces and letters to the editor supporting your message at key times.
- Develop Media Products: Work with the policy and media subcommittees of your coalition to develop radio, billboard, bus board materials or even brochures that support your policy objectives, e.g., clean indoor air, youth access to tobacco, tobacco advertising targeting youth.

These products should relate to your policy objectives and the messages and approach should be acceptable to the group you are trying to reach. There should be a dissemination plan and an appropriate production company should be hired that understands tobacco control and who is willing to work with the coalition.

J. Develop an Evaluation Plan

Maintain distribution and placement logs. Maintain a file or scrapbook of media coverage. Consider adding a telephone number and incentive for calling in to track response to the media placement. Analyze the quantity and type of media support and letters to the editor.

#12 LOBBYING POLICY

Chapter 300

Adopted 02/94

Revised 04/04

CDHS/TCS engages in and funds policy and advocacy activities which are legitimate tools of health education, health promotion, and public health. CDHS/TCS funds **may not** be used to support lobbying activities.

Lobbying is communicating with:

- a member or staff of a legislative body, a government official or employee who may participate in the formulation of the legislation; or
- the general public with the specific intention of promoting a yes or no vote on a particular piece of legislation.

Such communication is considered lobbying only if its principal purpose is to influence legislation.

Educating legislators, their staff, government employees, or the general public about your program or about tobacco-related issues is **NOT** considered lobbying.

#13 COORDINATING WITH SCHOOLS

Chapter 300

Adopted 02/94

Revised 04/04

Although schools and health departments receive separate funds for tobacco education, there should be a coordinated effort in the delivery of programs targeting youth in schools and the community in order to create a comprehensive approach. It is suggested that as appropriate to your agency's scope of work that your agency:

1. Develop a communication system and partnership with the county offices of education, and to the degree possible, with local school districts.
2. Designate a member of its staff as a liaison with the schools.
3. Help facilitate the enforcement of tobacco-free school policies.
4. Collaborate with schools on the following types of activities:
 - Tobacco-related community service opportunities for students.
 - Train facilitators to provide tobacco cessation services for students, faculty and non-credentialed staff. Promote use of the California Smokers' Helpline with schools.
 - Promote adoption of science-based tobacco use prevention curricula.
 - Conduct out-of-classroom educational programs and after-school programs.
 - Advocacy campaigns to improve teacher training and support for tobacco use prevention curricula.
 - Conduct parent participation programs.
 - Co-sponsor special events, e.g., Great American Smoke-out.
 - Co-sponsor speech contests, youth press conferences.
 - Coordinate a special edition of school newspapers covering tobacco issues and provide recognition (a.k.a. "Pulitzer prize") for the best story and photojournalism story.
 - Purchase advertising space in high school yearbooks or newspapers.
 - Coordinate surveillance activities on youth tobacco use, youth access to tobacco and tobacco advertising and promotional cues in the community which target youth.
 - Provide joint training for youth, teachers, parents, and youth serving community based organizations.
 - Develop a speakers bureau.
 - Collaborate on youth empowerment activities, e.g, a letter writing campaign or interviews conducted by youth and linked with community activities and leaders.
 - Jointly conduct a county youth conference.

- Coordinate community service events, e.g., reforestation activities in areas resulting from cigarette caused fires, collecting and tabulating tobacco product-related litter, etc.
- Recruit students for participation in tobacco-related survey and compliance check activities.
- Co-sponsor trainings when community and school programs are using the same evidence-based curricula.
- Participate on each other's advisory coalitions.
- Work together to assess an LLA's Communities of Excellence indicators relative to schools and an LEA's Needs Assessment indicators relative to the community.
- Focus on LEA parent education session on secondhand smoke in the home.
- Link school community service or service-learning requirements and activities with community youth tobacco control interventions.
- Encourage youth development and empowerment by allowing students to attend state and local advocacy networking opportunities (e.g., California Youth Advocacy Network).
- Work with local health providers to facilitate evidence-based curricula lessons at schools.
- Work together to bring youth cessation services to school campuses and the communities.

#14 USE OF CDHS/TCS FUNDS IN SCHOOL SETTINGS

Chapter 300

Adopted 02/94

Revised 04/04

The following requirements apply to the use of CDHS/TCS funds in schools.

1. CDHS/TCS funds cannot be used for the development or implementation of **in-classroom** curriculum in public schools.
2. CDHS/TCS funded projects may supplement ongoing California Department of Education (CDE) funded curriculum programs in the classroom in order to support policy-related objectives, e.g., objectives to achieve “R” rating of movies with tobacco use, or provide extra-curricular activities for which CDE funding is not available. Examples of supplementing curriculum may include adding advocacy activities or providing supporting materials.
3. CDHS/TCS funded programs proposing curricular activities in public classrooms must obtain a letter from the individual school, school district, or county office of education in which the program will be presented. This letter must:
 - a. Describe the current CDE tobacco education curricula; and
 - b. State how the CDHS/TCS funded project will supplement the CDE funded activities and curricula.
4. In private schools, funds cannot be used to directly benefit the school or assume the schools' responsibility to provide tobacco control education.

#15 USE OF PROPOSITION 99 FUNDS IN THE ENFORCEMENT OF MINORS' POSSESSION OF TOBACCO {Penal Code Section 308(b)}

Chapter 300

Adopted 6/97
Revised 04/04

Effective January 1, 1997, an amendment to Penal Code Section 308(b) added "possession" of tobacco as an illegal act for minors, along with purchasing or receiving tobacco products. Upon conviction, youth under 18 years of age can be fined \$75.00 or given 30 hours of community service work. This legislative change seems to have stimulated interest by local law enforcement and schools to enforce youth tobacco possession. However, many leading tobacco control experts agree that penalizing youth for possessing tobacco is not a desirable policy option (Wasserman and Jacobson, 1997). It is important that efforts to reduce the access and use of tobacco by youth are part of a **comprehensive approach** that targets tobacco retailers, tobacco marketing tactics, social source venues, and include policy options.

The following guidelines clarify the appropriate use of Proposition 99 funds regarding enforcement of the youth tobacco possession law.

The California Department of Health Services/Tobacco Control Section (CDHS/TCS) does not fund school-based or community-based diversion programs (e.g., alternative education programs to suspension for tobacco use on campus). This includes community service activities for youth cited for smoking or possessing tobacco products. The reasons for this are:

- A. Diversion and required community service programs are not consistent with CDHS/TCS' overall program strategy of focusing on community norm change rather than individual behavior change.
- B. Community-based diversion and required community service programs are punishment resulting from a law enforcement action. As stated in Policy #08 of this section, Proposition 99 funds may not be used for law enforcement activities.
- C. There is no evidence that diversion or mandatory community service programs are an effective strategy to reducing youth smoking rates or decreasing illegal tobacco sales to minors. Leading scientific health organizations do not endorse these strategies. (See attached bibliography)
- D. CDHS/TCS found that peer reviewed literature to date does not demonstrate that mandated participation in tobacco diversion programs or required community service either significantly impacts youth cessation rates among those participating, or reduces youth uptake of tobacco.
- E. The Department of Education specifically funds school-based youth cessation programs.

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#16 PARTNERS COMPUTER NETWORK SYSTEM

Chapter 300

Adopted 09/98

Revised 04/04

The **PARTNERS** (Policy Advocacy Resource Tobacco Network Education Response System) **web site network** is a statewide electronic communication system, developed to link the California Department of Health Services, Tobacco Control Section (CDHS/TCS) and its contractors.

Technical and administrative support for the PARTNERS web site is provided by ETR Associates/Tobacco Education Clearinghouse of California (ETR/TECC), under a contract with the California Department of Health Services, Tobacco Control Section.

The **goal of PARTNERS** is to provide an efficient and timely communication system for CDHS/TCS to communicate with its contractors and for projects to share resources and expertise in program and policy development and implementation. In addition, PARTNERS provides a forum for planning and strategizing across the state, maximizing resources, avoiding duplication of effort, and enhancing agency capability. The system allows CDHS/TCS-funded projects throughout California to share information, educational materials, program and training resources, and planning strategies. **All CDHS/TCS funded projects in California are required to participate in the network and log onto the web site at least once per week.** Technical assistance is provided to assist users with accessing and using PARTNERS and can be obtained via e-mail at partners@tcspartners.org or via phone at (916) 449-5491.

The two main components of the PARTNERS web site are **TCS Update** and the **Strategy Exchange**. Projects are expected to access these two specific features on a weekly basis. There are many other features on the web site including news, online forms, lists, links to other sites and various resources.

TCS Update contains announcements concerning trainings, conferences, forms, current events, trends in tobacco control, etc. TCS Update is posted every Monday. Users can access the current TCS Update from the Main Menu. Previous weeks' issues are available by clicking on Back Issues of TCS Updates.

The **Strategy Exchange** is the user-driven portion of PARTNERS. Users can read and post messages on this electronic bulletin board system. Projects are strongly encouraged by CDHS/TCS to post messages on this system, in order to share their knowledge and experience with other projects. Common types of messages include: requests for information, upcoming events, job postings, executive summaries of reports, recent successes and failures, helpful resources, etc. Messages can be posted in the current month or under special topic areas.

Subscription (Membership) Requirements:

PARTNERS is a password-protected web site for TCS-funded projects. Users must submit an online application and agree to abide by the Membership Agreement. Once the application is approved by TCS, new members are assigned a unique Username and Password and notified by e-mail. **Usernames and Passwords are individual specific and must not be transferred, reassigned or shared.** There is **no cost** to the project for enrollment in the PARTNERS network, and **any number of users** may be enrolled. New project directors can access the online application at the following URL: <http://www.tcspartners.org/registration.htm>.

Agencies are required to maintain a PARTNERS account and log onto the web site at least once per week. Agencies are also encouraged to use PARTNERS as a means to disseminate information about their activities and solicit assistance from other PARTNERS users via the Strategy Exchange.

Each project's PARTNERS use and their Strategy Exchange postings are reported to TCS on a biannual basis. Each project receives a quarterly PARTNERS Use Grade (via e-mail), based on the number of weeks which at least one person from their project accessed PARTNERS.

System Requirements for new purchases:

Minimum Hardware Specifications:

Processor:	2.6 MHz Pentium IV-class
Hard Drive:	40 Gigabyte
RAM:	256 Megabyte
Monitor:	17"
Printer:	Hewlett Packard LaserJet printer (a network printer, if multiple users will be connected to a local area network)
Modem:	V.90/56K (or LAN-based internet access or DSL service if available in your area)
Peripherals:	3.5" Floppy, CD-ROM + CD/RW Drive
Network Card:	Only if required for local area network access
Keyboard:	Standard or ergonomic
Mouse:	Standard or ergonomic
Graphic Card:	Standard with system (no upgrades)
Sound Card:	Standard with system (no upgrades)
Speakers:	Standard with system (no upgrades)
CD ROM Drive:	Standard or Read-Write (CD-RW)
Removable Media:	Jaz or Zip Drive (optional)
Allowable with justification only:	Scanner, Digital Camera

Recommended Software Specifications:

Operating System:	Microsoft (MS) Windows 2000 or XP
Word Processing:	MS Word 2000 (as part of Office 2000 Professional Suite)*
Spreadsheet:	MS Excel 2000 (as part of Office 2000 Professional Suite)*
Database:	MS Access 2000 (as part of Office 2000 Professional Suite)*
Browsers:	MS Internet Explorer v. 6.0
AntiVirus Software:	Required (any brand)

*If MS Office 2000 Professional is not available as part of the computer package, MS Office 2002 Professional, 2003 Professional or Office XP Professional may be purchased instead.

Other Requirements

E-mail Address Internet Access

In addition to the above requirements, if the computer purchased will be connected to your agency's existing local area network, you will need to contact your network administrator for appropriate network software and connectivity issues/problems.

Note: Any recommendations above are based solely on achieving a higher level of compatibility with the equipment and software used by the Tobacco Control Section. They do not constitute product endorsements.

#17 PROCESS TO REQUEST USE AND/OR ADAPTATION OF EDUCATIONAL OR MEDIA MATERIALS PRODUCED WITH CDHS/TCS FUNDS

Chapter 300

Adopted 09/99
Revised 04/04

The State of California owns the copyright on educational and media materials developed with funds from CDHS/TCS. (In the case of materials developed by Local Lead Agencies {LLA}, the copyright is jointly owned). Following is the procedure to request the use of and/or adaptation of materials by an agency other than the agency that produced the material.

1. **Requests Concerning Statewide Media Campaign Materials:** Contact the Centers for Disease Control and Prevention's (CDC) Media Campaign Resource Center for Tobacco Control at (301) 231-7537 (Cygnus Corporation) for requests to use advertising materials developed by the CDHS/TCS Statewide Media Campaign. Ads from California are periodically transferred to the CDC Media Campaign Resource Center. Your agency will be responsible for paying fees associated with changing the tagline and paying the talent fees associated with the use of the ads selected. Requests to use the public relations materials developed by the CDHS/TCS Statewide Media Campaign or questions regarding ads developed by CDHS/TCS should be directed to Kurt Fowler, Media Analyst, CDHS/TCS at (916) 449-5724.
2. **Requests Concerning Educational and Media Materials Produced in Whole or in Part with Competitive Grantee Funding:** This includes Competitive Grantees, Priority Population Partnerships, the Helpline, the Clearinghouse and any other statewide projects funded with Competitive Grant Funds.
 - a. **Requests from a Government Agency, American Cancer Society, American Heart Association or American Lung Association Affiliate**
 1. **Make a Written Request:** Direct the written request to the CDHS/TCS Program Consultant assigned to work with the contractor that developed the material and provide a copy of the request to the assigned CDHS/TCS Contract Manager. The letter is to describe: a) the product, b) how it will be used, and c) any modification the requestor would like to make.
 - a) **Tagline:** If the request is simply to change the tagline on a brochure, poster, or ad to identify the requestor agency's name, CDHS/TCS will generally grant permission for this. If the request concerns a material that might involve the use of

“talent fees” or other special conditions, CDHS/TCS will generally grant permission provided the requestor includes a letter from the agency that originally produced the material which indicates there is no issue with the “talent fees” or other conditions, e.g., a special work of art or photograph.

- b) **Modifications to a Brochure:** Permission will generally be granted to adapt or modify brochures. The standard funding acknowledgement is not required of agencies that are using the material outside of California.
- c) **Modifications to a Video:** Permission will not generally be granted to modify videos or to incorporate footage of an existing video into a new “work.” Any request to do so will be forwarded to the Chief of Local Programs and Evaluation, CDHS/TCS for a secondary review and decision.
- d) **Modifications to a Training Curriculum:** Permission will not generally be granted to modify or incorporate a curriculum into a new “work.” Any request to do so will be forward to the Chief of Local Programs and Evaluation, CDHS/TCS for a secondary review and decision.
- e) **Modifications to a Poster:** Permission will not generally be granted to modify or incorporate a poster into a new “work.” Any request to do so will be forward to the Chief of Local Programs and Evaluation, CDHS/TCS for a secondary review and decision.

b. Requests from Other Non-Profit Agencies or from For-Profit Agencies

- 1. **Make a Written Request:** Direct the written request to the Chief of Local Programs and Evaluation, CDHS/TCS. The letter is to describe: a) the product, b) how it will be used and distributed, c) price if applicable, and d) any modification the requestor would like to make.
- 2. **Restrictions:** Restrictions generally will be similar to those cited above. A gift of public funds “for the profit of an agency will be considered and avoided” in any request.

3. Educational or Media Material Produced in Whole or in Part with Local Lead Agency Funding

Seek permission directly from the LLA that produced the educational or media material to use or modify the material. This includes materials developed by subcontractors of LLAs.

4. Cost of Providing or Modifying Materials

Any agency granted permission to use or modify educational or media materials developed with funds from CDHS/TCS is to bear the cost associated with the use or modification of the material. CDHS/TCS-funded projects, including the Tobacco Education Clearinghouse of California may bill agencies for providing a duplicate set of camera-ready materials and should not become involved in working or negotiating with a printer, graphic artist or talent agency on behalf of the requesting agency.

#18 PC 308(a) OPERATIONS GUIDELINES

Chapter 300

Adopted 01/02

Revised 04/04

The following minimum standards shall apply to all decoys working with members of designated agencies engaged in undercover activities pertaining to PC 308(a) enforcement. For further information on conducting PC 308(a) operations, consult the STORE Campaign web page on PARTNERS.

- 1) All decoys shall be less than 18 years old at the time of any undercover decoy operation. The decoy shall display an appearance consistent with their age (less than 18 years old) and environment.
- 2) A photograph or video recording will be taken immediately prior to or at the time of the operation for the purpose of recalling the decoys appearance at this time. The photograph and/or video recording will be retained by the agency supervising the decoy operation.
- 3) A decoy shall carry his or her own identification showing their correct date of birth or not carry any identification. A decoy who carries identification shall present it upon request to any seller of tobacco products.
- 4) Enforcement agencies may require decoys to respond truthfully to the seller if verbally asked their age or they may allow the decoy to verbally respond that they are 18 years of age.
- 5) A decoy shall be supervised by a regularly employed adult peace officer or other authorized statutory adult authority at all times during the operation.
- 6) The designated agency may use recording equipment, including video, audio, photographic and other audio/visual recording equipment, to record and document an operation.
- 7) Upon completion of the decoy operation, the designated agency may notify the owner or owner's agent of the operations results.

#19 NON-ACCEPTANCE OF TOBACCO COMPANY FUNDS

Chapter 300

Adopted 07/02

Revised 04/04

In order to receive funds from the CDHS/TCS, contractors must comply with the following:

Universities/Colleges Only

The Principal Investigator of the university or college cannot receive funding from or have an affiliation or contractual relationship with a tobacco company, any of its subsidiaries or parent company within the last five (5) years prior to the start date of the contract period. In addition, the Principal Investigator of the university or college will not accept funding from or have an affiliation or contractual relationship with a tobacco company, any of its subsidiaries or parent company during the term of the contract with CDHS/TCS. See attached partial list of tobacco company subsidiaries.

All Other CDHS/TCS Contractors

The contractor will not accept funding from or have an affiliation or contractual relationship with a tobacco company, any of its subsidiaries or parent company during the term of the contract with CDHS/TCS. See attached partial list of tobacco company subsidiaries. Since subcontractors are held to the same standards as the prime contractor, they are also subject to these requirements.

Contractors are required to sign and submit the "Certification of Non-Acceptance of Tobacco Funds" form as part of the Request for Application process. The certifications are on file at CDHS/TCS. See attached sample of the certification form. Violation of this CDHS/TCS policy during the term of the contract may result in termination of the contract.

TOBACCO SUBSIDIARY PRODUCTS

Philip Morris / Altria

BEVERAGES

Coffee

General Foods International Coffees
Gevalia
Maxim
Maxwell House
Sanka
Starbucks*
Yuban

Frozen Treats

Mr. Freeze
Kool-Aid Slushies

Powdered Soft Drinks

Country Time
Crystal Light
Kool-Aid
Tang

Ready-to-Drink

Capri Sun*
Country Time
Crystal Light
Kool-Aid Bursts
Tang
Total Balance

CONVENIENT MEALS

Bacon

Oscar Mayer
Louis Rich

Cold Cuts

Oscar Mayer
Louis Rich

Dinner Kits

Stove Top Oven Classics
Taco Bell*

Frozen Pizza

California Pizza Kitchen*
DiGiorno
Jack's
Tombstone

Hot Dogs

Oscar Mayer

Lunch Combinations

Lunchables

Macaroni & Cheese Dinner

Kraft
Kraft Easy Mac
Velveeta

Meat Alternatives

Boca

Meat Snacks

Tombstone

Pastas and Sauces

DiGiorno

CHEESE

Cold Pack Cheese

Woody's

Cottage Cheese

Breakstone's
Knudsen
Light n' Lively

Cream Cheese

Philadelphia
Temp-tee

Grated Cheese

Kraft

Natural Cheese

Athenos
Churny
Cracker Barrel
DiGiorno
Handi-Snacks
Harvest Moon
Hoffman's
Kraft
Polly-O

Process Cheese Loaves

Kraft Deluxe
Old English
Velveeta

Process Cheese Sauce

Cheez Whiz

TOBACCO SUBSIDIARY PRODUCTS

Philip Morris / Altria

Process Cheese Slices

Kraft Deli Deluxe
Kraft Free Singles
Kraft Singles
Kraft 2% Milk Singles
Velveeta

Process Cheese Spread

Easy Cheese

GROCERY

Baking Chocolate/Coconut

Baker's

Baking Powder

Calumet

Barbecue Sauce

Bull's-Eye
Kraft

Breakfast Beverage

Postum

Coating Mix

Shake 'n Bake
Oven Fry

Condiments

Grey Poupon
Kraft
Sauceworks

Cooked Cereal

Cream of Wheat

Cereal Bars

Nabisco

Dips

Kraft

Dog Biscuits

Milk-Bone

Dry Packaged Desserts

Dream Whip
D-Zerta
Jell-O
Minute

Energy Bars

Balance
Oasis Bars

Fruit Preservatives

Ever Fresh

Frozen Whipped Topping

Cool Whip

Ice Cream Topping

Kraft

Margarine

Parkay (Puerto Rico only)

Pasta Salads

Kraft

Pectins

Certo
Sure-Jell

Pickles/Sauerkraut

Claussen

Pie Crusts

Honey Maid
Nilla
Oreo

Ready-to-Eat Cereals

Post
Alpha-Bits
Banana Nut Crunch
Blueberry Morning
Cinna-Cluster Raisin Bran
Cranberry Almond Crunch
Frosted Shredded Wheat
Fruit & Fibre
Golden Crisp
Grape-Nuts
Great Grains
Honey Bunches of Oats
Honeycomb
Nabisco (Puerto Rico only)
Natural Bran Flakes
Oreo O's
Pebbles*
Raisin Bran
Shredded Wheat
Shredded Wheat 'n Bran
Spoon Size Shredded Wheat
Toasties
Waffle Crisp
100% Bran

Rice

Minute Rice

Salad Dressings

Good Seasons
Kraft
Seven Seas

Sour Cream

Breakstone's
Knudsen

TOBACCO SUBSIDIARY PRODUCTS

Philip Morris / Altria

Spoonable Dressing

Kraft Mayo
Miracle Whip

Steak Sauce, Marinade, Worcestershire

A. 1.

Stuffing Mix

Stove Top

Toaster Pastries

Kool Stuf

Yogurt

Breyers*
Jell-O
Light n' Lively

Snacks

Cookies
Barnum's Animals
Biscos
Café Creme
Cameo
Chips Ahoy!
Crispin (Puerto Rico only)
Dad's
Danish (Puerto Rico only)
Famous Chocolate Wafers
Family Favorites
Old Fashioned
Ginger Snaps
Hony Bran (Puerto Rico only)
Konitos (Puerto Rico only)
Lorna Doone
Mallomars
Marshmallow Twirls
Nabisco (Puerto Rico only)
National Arrowroot
Newtons
Nilla
Nutter Butter
Oreo
Peak Freans
Pecan Passion
Pecanz
Pinwheels
SnackWell's
Social Tea
Stella D'oro
Sweetie Pie (Puerto Rico only)
Teddy Grahams
Wild Thornberry's*

Crackers

Air Crisps
Better Cheddars
Cheese Nips
Club Social (Puerto Rico only)
Crown Pilot
Doo Dad

Flavor Crisps
Harvest Crisps
Honey Maid
Nabisco Grahams
Nabs
Premium
Ritz
Royal Lunch
SnackWell's
Stoned Wheat Thins
Sportz (Puerto Rico only)
Sultana (Puerto Rico only)
Triscuit
Uneeda
Wheatworth
Wheat Thins
Zwieback

Ice Cream Cones

Comet Cups

Packaged Food Combinations

Handi-Snacks
Lunchables

Refrigerated Ready-to-Eat Desserts

Jell-O
Handi-Snacks

Snack Nuts

Corn Nuts
PB Crisps
Planters

Sugar Confectionery

Altoids
Callard & Bowser
CremeSavers
Jet-Puffed
Kraft Caramels
Life Savers
Milka L'il Scoops
Nabisco Fun Fruits
Terry's
Tobler
Toblerone
Trolli

Miller Brands**

Miller Beer
Miller Genuine Draft
Miller High Life
Sharp's non-alcohol brew
Milwaukee's Best
Meister Brau
Magnum Malt Liquor
Henry Weinhard's
Hamm's
Olde English 800 Malt Liquor
Mickey's Malt Liquor
Red Dog

TOBACCO SUBSIDIARY PRODUCTS

Philip Morris / Altria

ICEHOUSE
Southpaw
Leinenkugel
Celis
Pale Rider
Shipyard Export Ale
Goat Island Ale
Fuggles Pale Ale
Old Thumper Extra Special Ale
Blue Fin Stout
Longfellow Ale
Mystic Seaport Pale Ale
Chamberlain Pale Ale
Sirius
Prelude Ale
Molson
Foster's Lager
Sheaf Stout
Presidente
Shanghai

*Kraft is the distributor for these brands:

- Breyers is a registered trademark owned and licensed by Unilever, N.V.
- Capri Sun is a registered trademark of Rudolf Wild GmbH & Co. KG, used under license.
- California Pizza Kitchen is a trademark owned and licensed by California Pizza Kitchen, Inc.
- Jenny Craig is a registered trademark of Jenny Craig, Inc., used under license.

- Pebbles is a registered trademark of Hanna-Barbera Productions, Inc. Licensed by Hanna-Barbera Productions, Inc.
- Starbucks is a registered trademark of Starbucks U.S. Brands Corporation.
- Nickelodeon and all related titles, characters and logos are trademarks owned and licensed by Viacom International Inc. All rights reserved.
- Taco Bell is a registered trademark owned and licensed by Taco Bell Corp.

**Altria Group, Inc. holds a 36% economic interest in SABMiller plc as a result of the 2002 Miller Brewing Company merger into South African Breweries plc, which formed SABMiller plc, the world's second-largest brewer.

TOBACCO SUBSIDIARY PRODUCTS
United States Smokeless Tobacco Company

Wines

Chateau Ste. Michelle
Columbia Crest
Domaine Ste. Michelle
Villa Mt. Eden
Conn Creek
Northstar
Snoqualmie

CERTIFICATION OF NON-ACCEPTANCE OF TOBACCO FUNDS

Company/Organization Name

Please check one of the following:

☐ The applicant named above hereby certifies that it will not accept funding from nor have an affiliation or contractual relationship with a tobacco company, any of its subsidiaries or parent company during the term of the contract with the California Department of Health Services, Tobacco Control Section.

☐ University/Colleges Only

The Principal Investigator of the university or college named above hereby certifies that he/she has not received funding from nor had an affiliation or contractual relationship with a tobacco company, any of its subsidiaries or parent company within the last five (5) years prior to the start date of the grant period. In addition, the Principal Investigator of the university or college named above hereby certifies that he/she will not accept funding from nor have an affiliation or contractual relationship with a tobacco company, any of its subsidiaries or parent company during the term of the contract with the California Department of Health Services, Tobacco Control Section.

CERTIFICATION

I, the official named below, hereby swear that I am duly authorized legally to bind the contractor or grant recipient to the above described certification. I am fully aware that this certification, executed on the date below, is made under penalty of perjury under the laws of the State of California.

Director of Agency or Principal Investigator:

Signature

Date

Print Name and Title

CHAPTER 400 TOBACCO CONTROL ADMINISTRATIVE REQUIREMENTS

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#01 DATA COLLECTION AND REPORTING REQUIREMENTS

Chapter 400

Adopted 02/94
Revised 04/04

1. Agencies shall conduct surveillance activities, collect and maintain data, submit reports, and conduct evaluations in accordance with CDHS/TCS requirements.
2. Agencies shall allocate a minimum percentage of their total CDHS/TCS budget towards an evaluation component. This component should support staff designated to oversee evaluation, required data collection, surveillance, evaluation, and reporting requirements. This is a mandatory requirement and must be evident in the budget. For the minimum percentage required, refer to the procurement to which your agency responded.
3. Agencies shall designate one staff person as the lead on evaluation activities. Agencies shall allocate the minimum percentage of a staff person's time, as required in the procurement to which the agency responded, to be dedicated toward overseeing evaluation activities, coordinating evaluation activities with CDHS/TCS, and any evaluation consultant or subcontractor who may be hired. This is a mandatory requirement and must be evident in the budget.
4. The documents, Tell Your Story: Guidelines for Preparing an Evaluation Report and Using Case Studies to do Program Evaluation are to be used as the standard for preparing final evaluation reports. These documents can be found at www.dhs.ca.gov/tobacco/html/Evaluation_Resources.htm or on the C-STATS web site at www.cstats.info.
5. The C-STATS web site, www.cstats.info, is to be used as a resource for online access to California's county, regional, and statewide tobacco statistics. C-STATS provides access to a wide variety of information, including evaluation resources for local projects, publications, and local information on a broad range of tobacco-related indicators, from behavioral measures to local policies.
6. Progress Reports shall be submitted bi-annually to CDHS/TCS, with one original and one copy, each complete with attachments.
7. The content of the Progress Reports shall be in accordance with CDHS/TCS instructions and the required forms shall be used. Agencies should maintain back-up documentation, such as logs, sign-in sheets, press releases, etc. to verify all information provided in the progress reports and will be required to submit documentation with progress reports as identified in the progress report instructions.
8. If timely and accurate progress reports and evaluation reports are not received by CDHS/TCS, payments will be withheld until delinquent or deficient reports are up-to-date or evaluation requirements are satisfied. Contractors shall be given a

time-certain date by which to re-submit unsatisfactory reports. If reports are not submitted timely or remain unsatisfactory, the contract award may be reduced.

9. Each agency shall cooperate with and participate in evaluation activities conducted by agencies that are under contract with CDHS/TCS for the purpose of evaluation or surveillance activities.

#02 EQUIPMENT PURCHASES

Chapter 400

Adopted 02/94
Revised 01/05

A. Vehicles

CDHS/TCS does not allow the purchase or leasing with option to buy of vehicles. Agencies must budget for the use of their agency vehicle by allocating funds for reimbursement of mileage at a rate established by the agency. The agency can bill the CDHS/TCS contract each month for the amount of miles logged by staff.

B. Cellular Phones/Pagers

Cellular phones and monthly access fees are not authorized for CDHS/TCS contractors.

Pagers and monthly fees may be authorized. Pagers will be considered on an individual basis and authorization is dependent upon the need of the contractor and approval of CDHS/TCS.

C. Computer Hardware/Software

With prior CDHS/TCS approval, some agencies are permitted to purchase computer equipment, including hardware and software. The guidelines, request for application or renewal instructions under which the agency was funded designates whether an agency is permitted to purchase computer equipment. The following guidelines pertain to those agencies that are permitted to purchase computer hardware and software.

Computer Hardware

1. Agencies that are permitted to purchase computer equipment shall obtain approval **PRIOR** to purchasing computers and computer support equipment. Requests to purchase equipment must be approved through the budget process. Once approved, the contractor must follow the procedures for reporting the purchase and inventory of the equipment as outlined in Section I, Chapter 800 of the Competitive Grantees Administrative and Policy Manual. Equipment purchases not in the approved budget will be disallowed unless a prior written request is submitted to the assigned CDHS/TCS contract manager for review and approval and written approval is granted.
2. Computer hardware shall be located in an area accessible to the principle tobacco control program staff, e.g., tobacco control project director/coordinator.

3. The agency shall have equipment for the purposes of: producing state mandated progress reports, completing statewide independent evaluation instruments and reports, and participating in PARTNERS and OTIS (Online Tobacco Information System). Following are the minimum hardware specifications for new equipment purchases at this time:

New Equipment Purchase Specifications:

Type	Minimum
Processor	2.6 mhz, Pentium IV-class
Hard Drive	40 Gigabyte
RAM	512 Megabyte
Monitor	17"
Printer	HP laserjet printer
Peripherals	3.5" Floppy Disk Drive CD Rom + CD/RW Drive
Modem	Local Area Network (LAN) LAN-based internet access or DSL service if available in area

4. Computer equipment requests are to be justified by demonstrated programmatic or administrative need and are subject to CDHS/TCS written approval.
5. The agency shall modify its computer system as requested by CDHS/TCS.

Computer Software

1. Contract language prohibits the use of state funds for the acquisition, operation, or maintenance of computer software in violation of licensing and copyright laws. By signing the contract award, the contractor has certified that it has appropriate systems and controls in place to ensure that violations do not occur.
2. The agency must obtain approval **PRIOR** to purchasing computer software. Requests to purchase software must be approved through the budget process. Once approved, the contractor must follow the procedures for reporting the purchase and inventory of the equipment, including software, as outlined in Section I, Chapter 800 of the Competitive Grantees Administrative and Policy Manual. Equipment or software purchases not in the approved budget will be disallowed unless a prior written request is submitted to the assigned CDHS/TCS contract manager for review and approval and written approval is granted.
3. Following are the recommended software packages an agency should have available for use:

Software Specifications:

Type	Minimum
Operating System	Microsoft (MS) Windows 2000 or XP Professional
Presentation	PowerPoint 2000
Word Processing	Word 2000 (as part of Office 2000 Professional Suite) ①
Spreadsheet	Excel 2000 (as part of Office 2000 Professional Suite) ①
Database	MS Access (as part of Office 2000 Professional Suite) ①
Broadband Internet Service Provider (ISP)	E-mail and internet access; or through existing LAN, if available.
Internet Access	Broadband ② if available in area; or LAN internet access, if already available.
Browsers	Internet Explorer v. 6.0
Adobe Acrobat Reader	Adobe Acrobat Reader 6.0
Statistical	Epi Info version 3.3 ③
Antivirus Software	Required (most current version of any brand)

① - If MS Office 2000 Professional is not available as part of the computer package, MS Office 2002 Professional, MS Office 2003 Professional, or MS Office XP Professional may be purchased instead.

② - Such as AOL, Compuserve, Earthlink, MSN, SBC Communications, Inc., SureWest, or any other Broadband Internet Service Provider which provides E-mail and high-speed Internet access.

③ - May be downloaded for free at <http://www.cdc.gov/epiinfo/>

4. The agency shall modify or change its software according to CDHS/TCS specifications.
5. Any recommendations above are based solely on achieving a level of compatibility with the equipment and software used by CDHS/TCS. It does not constitute a product endorsement.

#03 STAFFING, ADMINISTRATIVE AND TRAVEL REQUIREMENTS

Chapter 400

Adopted 01/96
Revised 04/04

Additional requirements may be found in Section I of the Local Lead Agency and/or Competitive Grantee Administrative and Policy Manuals.

A. Staff Requirements

1. Personnel classifications and/or professional disciplines shall be appropriate for the completion of the scope of work requirements.
2. The agency is responsible for notifying their CDHS/TCS contract manager in a timely manner of staff changes in the Project Director position. The agency shall use an approved form and format as instructed by CDHS/TCS.
3. The agency shall designate one staff person as the lead on evaluation activities. Agencies shall allocate the minimum percentage of a staff person's time, as required in the procurement to which the agency responded, to be dedicated toward overseeing evaluation activities, coordinating evaluation activities with CDHS/TCS, and any evaluation consultant or subcontractor who may be hired. This is a mandatory requirement and must be evident in the budget.
4. The agency shall have professional staff qualified to:
 - Collaborate with community agencies, organizations, and targeted populations;
 - Implement principles and practices of community health education;
 - Coordinate community assessments, conduct educational, media, policy activities and evaluation;
 - Collect and tabulate required data;
 - Perform program planning and evaluation activities;
 - Fiscally and administratively manage the tobacco control program; and
 - Comply with reporting and record keeping requirements of the State.
5. The agency must have on file and provide to CDHS/TCS as requested, job descriptions and duty statements for all positions listed in the budget.
6. In **local lead agencies**, the individual designated as the Project Director (PD)/Project Coordinator (PC) shall be assigned to the project 100 percent time. The PD/PC shall have day-to-day responsibility for the management and implementation of the project. A reduced PD/PC staffing pattern requires prior CDHS/TCS approval and must not drop below 75%. The reduction must be justified (e.g., diminishing funds, the PD needs to

oversee MSA or competitive grant funded programs also, personal issues, etc.) and the agency must meet the following criteria:

- Has a past track record of satisfactory progress towards completing its scope of work;
- Progress reports and cost reports are submitted timely, complete, and accurate;
- There is participation by appropriate staff in CDHS/TCS trainings and conferences;
- There is evidence of local collaboration; and
- All of the above functions are maintained at the reduced time level.

If the above criteria are not met, CDHS/TCS reserves the right to have the PD/PC increased back to 100% time.

B. Budget and Administrative Requirements

1. Agencies will prepare either cost reports (local lead agencies) or monthly invoices in arrears which detail the actual program expenditures in accordance with the format prescribed by CDHS/TCS.
2. Payments to agencies are contingent upon receipt and approval of their scope of work and budget and upon receipt and approval of other contractual deliverables such as progress reports and cost reports or invoices.
3. Agencies must maintain a functioning e-mail account.
4. As a rule of thumb, agencies should budget their funds as follows:
 - a. In general, personnel expenses (includes salaries, benefits, and indirect costs) should be approximately two-thirds of your total budget and operating expenses should not exceed one-third of your total budget.

For example, if the agency's annual budget is \$150,000 the budget would be as follows:

Total Personnel*	\$ 99,000
Operating Expenses	\$ 51,000
Total Budget	\$150,000

* Includes salary, fringe benefits & indirect costs

- b. If a **local lead agency** subcontracts out 60% or more of the tobacco control allocation to one agency to implement the comprehensive tobacco control plan, then the subcontractor will be required to develop a sub-budget, following the same guidelines applicable to the LLA.

5. Agencies shall comply with administrative and contractual requirements as provided to them in the form of the contract manual updates and Program Letters throughout the contract term.

C. Travel Requirements

1. Project directors or their designee are required to budget for and attend the CDHS/TCS Project Directors Meeting which is typically held every eighteen (18) months.

2. Out-of-State Travel

- a. Local Lead Agencies

Local lead agencies may expend their funds for out-of-state travel when the travel is consistent with county guidelines and requested and approved through the CDHS/TCS budget process. However, final approval of any out-of-state travel will be contingent upon:

- participating in the conference as a presenter, panel member, speaker, etc.; and,
- being up-to-date on progress in the scope of work and current with submission of progress/cost reports.

- b. All Other CDHS/TCS Contractors

All other CDHS/TCS contractors must request in writing, prior approval for out-of-state travel and justify the request unless it is pre-approved through the CDHS/TCS budget process. However, final approval of any out-of-state travel will be contingent upon:

- participating in the conference as a presenter, panel member, speaker, etc.; and,
- being up-to-date on progress in the scope of work and current with submission of progress/cost reports.

This includes “salary only” trips in which another agency is paying for travel and per diem and you are requesting CDHS/TCS to pay for your salary. The request is to be addressed to the Contract Manager (CM) assigned to your project and must include, at a minimum, the following:

- A letter requesting approval for the trip. The letter must describe the trip in detail; indicate the benefits to the tobacco control program if the CDHS/TCS funded staff were allowed to attend;

- A detailed description of all costs related to the travel. This includes salary costs for the individuals traveling, lodging, airfare, car rental, food, etc. If related costs are not provided in the request, CDHS/TCS staff will make the determination as to how much will be allowed, if any; and,
- A copy of the letter of invitation, conference brochure, agenda, etc.
- If you have been able to secure partial funding for travel from another source, please indicate the amount and the name of the agency providing the funds.

Your request will be reviewed by the CM/PC to determine if there is sufficient merit for the travel request and if sufficient funds are available in your contract. The request is then forwarded to the CDHS/TCS Assistant Chief who shall make the final decision on all out-of-state travel requests.

Please allow 10 working days to receive a response to your written request.

Out-of-state travel, including salary only trips, that occurs without prior written approval will be denied.

Refer to Section I of your Administrative and Policy Manual for the procedures and format to follow in submitting your request.

#04 INTEREST EARNED AND GENERATED REVENUE REQUIREMENTS

Chapter 400

Adopted 04/96
Revised 04/04

A. Interest Earned

1. Local Lead Agencies

LLAs are required, per their allocation agreement, to deposit their prospective payments into an interest bearing, insured trust account. The allocation agreement requires that the interest accruing from these prospective payments must be used for state-approved tobacco control program-related activities and shall be used to defray costs incurred by the program, measurably expand the program, or improve the quality of services above the level of services already funded under the allocation agreement.

LLAs may use funds from interest earned to purchase items in the approved scope of work (i.e., incentives, media, promotional items, etc.) or temporary help (and the fringe benefit expenses associated with the temporary help position) without obtaining **additional** prior written approval (the written approval of the CTCP constitutes prior written approval). These funds cannot be used to supplement fringe benefit expenses for regular staff or for Indirect Cost expenses.

Prior written approval will be required to use these funds for equipment purchases or for purchases of any items not in the approved scope of work (i.e., consultants, media, etc.).

The LLA must comply with the following:

- Obtain prior written approval from CDHS/TCS to use interest earned money from the trust account to purchase items/services not in the approved scope of work. Refer to Section I of this manual for the procedures and format to follow in obtaining approval.
- Maintain adequate documentation of the receipt and use of such interest. Once approval is obtained to use interest earned money, the LLA must report the use of these monies during the cost report period in which they were spent. Refer to Section I for the procedures and format to follow in submitting cost reports.
- Return to the State any unexpended interest remaining in the trust account, if funding authority for this allocation agreement expires or the agreement is canceled. Refer to your allocation agreement for more information. CDHS/TCS will provide detailed instructions on how to

return unexpended interest in the latter part of the agreement term.

2. Competitive Grantees

These projects may have earned interest by obtaining an advance payment on the first fiscal year amount of their contract award. Specific provisions of the contract do not allow for the use of interest earned to defray program costs, measurably expand the program, or improve the quality of services above the level of services already funded under their contract. If you obtained an advance payment, any interest accruing from this advance payment is to be returned to the state prior to the contract expiration or termination date. Refer to the advance payment provisions of your contract for more information.

B. Generated Revenue

Please read carefully the generated revenue clause in your contract. CDHS/TCS would prefer that the programs use the funds in their contract to conduct business rather than generate revenue to pay for program activities. If the program feels it is absolutely necessary that they generate revenue, then the program must comply with the following:

- Obtain prior written approval from CDHS/TCS to generate revenue. Refer to Section I of this manual for the procedures and format to follow in obtaining approval.
- Maintain adequate documentation of the receipt and use of these monies. LLAs must report the use of these monies during the cost report period in which they were spent (refer to Section I of this manual for the procedures and format to follow in submitting cost reports). All other contractors may be asked at any time to provide documentation of the receipt and use of these monies.
- Return to the State any unexpended funds, including any interest earned, remaining in the generated revenue account, if funding authority for this contract expires or the contract is canceled. Refer to your contract language for more information. CDHS/TCS will provide detailed instructions on how to return unexpended generated revenue in the latter part of the agreement/contract term.